



# UTAH VALLEY UNIVERSITY

## Policies and Procedures

<b>Proposed Policy Number and Title:</b> Policy 637 Faculty Tenure		
<b>Current Policy Number and Title:</b> Policy 637 Faculty Tenure		
<b>Approval Process*</b>		
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*See UVU Policy 101 <i>Policy Governing Policies</i> for process details.		

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## UTAH VALLEY UNIVERSITY

### Policies and Procedures

<b>POLICY TITLE</b>	Faculty Tenure	<b>Policy Number</b>	637
<b>Section</b>	Academics	<b>Approval Date</b>	
<b>Subsection</b>	Faculty	<b>Effective Date</b>	
<b>Responsible Office</b>	Office of the Provost/Senior Vice President of Academic Affairs	<b>Last Review</b>	

#### 1.0 PURPOSE

1.1 This policy establishes the requirements and procedures for achieving tenure at Utah Valley University.

#### 2.0 REFERENCES

2.1 *Duties and Responsibilities of the President of a Degree-granting Institution of Higher Education—Approval by Board of Trustees*, Utah Code § 53B-2-106

2.2 Utah Board of Higher Education Policy R312 *Institutional Missions and Roles*

2.3 Utah Board of Higher Education Policy R481 *Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review*

2.4 Utah Board of Higher Education Policy R482 *Bona Fide Financial Exigency and Personnel Reduction*

2.5 UVU Policy 165 *Discrimination, Harassment, and Affirmative Action*

2.6 UVU Policies 600 *Academic Series Policies*

2.7 American Association of University Professors, *1940 Statement of Principles on Academic Freedom and Tenure*

#### 3.0 DEFINITIONS

3.1 **Academic year:** The period beginning Fall semester and ending with the subsequent Spring semester.

3.2 **Department:** A group of salaried, benefits-eligible faculty members from the same or related disciplines that is authorized by the Provost to act as an academic unit in evaluating faculty peers for retention, tenure, and promotion.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

**3.3 Faculty portfolio (portfolio):** A collection of documents prepared by a faculty member as evidence of their contributions in teaching, scholarly/creative works, and service to their profession and the University. (See section 5.5.1.)

**3.4 Faculty Senate retention, tenure, promotion, and appeals committee (RTP&A committee):** A standing committee of Faculty Senate that encourages equity and rigor in department tenure criteria, promotes adherence to university policies, considers appeals of tenure decisions, and advises on matters of tenure policy.

**3.5 Good standing:** Describes the status of an employee who has no disciplinary action imposed or pending and has completed all mandatory trainings and faculty annual reviews.

**3.6 Midterm review:** A comprehensive review of a faculty member's portfolio to evaluate progress on their tenure plan. This review typically takes place during the third year of the probationary period and considers the faculty member's contributions throughout the previous two years of tenure-track employment.

**3.7 Missing material:** Material that the faculty member neglected to include in their portfolio, whether intentional or unintentional.

**3.8 Probationary period:** A period during which a faculty member is in a tenure-track position but is not yet tenured.

**3.9 Retention, tenure, and promotion committee (RTP committee):** A group of tenured faculty members that evaluates faculty peers and makes recommendations for or against retention, tenure, or promotion. An RTP committee may serve a single academic department, a cluster of academic departments in the same school, or an entire school. (See section 5.2.)

**3.10 Service:** For the purposes of this policy, service refers to service activities at the University, in the community and to one's profession that are clearly related to the faculty member's role.

**3.11 Tenure:** A condition of continuing employment, awarded to qualified faculty members, that promotes academic freedom, attracts professionals of ability, and enhances the quality of the University's academic programs.

**3.12 Tenure plan:** An outline of proposed goals and achievements, to be completed by a faculty member during the probationary period, related to teaching, scholarly/creative works, and service.

**3.13 Tenure review:** A comprehensive review of a faculty member's portfolio to determine whether or not the faculty member shall be awarded tenure. This review typically takes place during the sixth year of the probationary period and considers the faculty member's contributions throughout the previous five years.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

**3.14 Termination for cause:** Dismissal of tenured faculty for professional incompetence; serious misconduct or unethical behavior; legal misconduct substantially related to the performance of duties; inability or unwillingness to meet institutional expectations, including failure to address deficiencies outlined in a remediation plan following post-tenure review; the conviction of a crime affecting the fitness of the faculty member to engage in teaching, research, service, outreach, administration, or other assigned duties; falsified credentials or plagiarism; serious violation of Utah Board of Higher Education policy or university policies and procedures; or substantially impaired performance due to health reasons. (See Utah Board of Higher Education Policy R481 and UVU Policy 649 *Faculty Sanction and Dismissal for Cause*.)

#### 4.0 POLICY

##### 4.1 Awarding of Tenure

**4.1.1** In consultation with the Board of Trustees, tenure is awarded by the President of the University, based upon the recommendations of the RTP committee, department chair, dean, and Provost.

**4.1.2** The reviewing bodies must base their recommendations upon university policies, approved department tenure criteria, and portfolio evaluations.

**4.1.3** As set forth in UVU policy and approved department tenure criteria, a faculty member earns tenure by demonstrating sustained, expected levels of the following: teaching effectiveness; scholarly/creative works; and service to the profession, the University, and the community. Faculty must comply with all department tenure criteria, university policies, Utah Board of Higher Education policies, and state and federal laws.

**4.1.4** A faculty member's tenure award is tied to one specific academic department. When a faculty member transfers to another department during the probationary period or after earning tenure, the approved procedures of the new department determine the transfer candidate's tenure status. (See section 5.10.)

**4.1.5** Tenured status shall become effective on July 1 following approval from the President.

##### 4.2 Development and Review of Criteria for Awarding Tenure

**4.2.1** Unless they are subject to college- or school-wide tenure criteria, each department shall develop tenure criteria establishing the expected levels of faculty performance in teaching, scholarly/creative works, and service. These criteria must adhere to university policy and the standards of relevant disciplines, especially UVU Policy 635 *Faculty Rights and Professional Responsibilities*.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

83 **4.2.2** Tenure criteria documents shall be sufficiently detailed that a faculty member can develop  
84 a plan during their first year to achieve tenure by the end of the probationary period. This plan  
85 shall provide for variations in assigned workload.

86 **4.2.3** Faculty Senate's RTP&A committee and Academic Affairs must review and approve  
87 tenure criteria at least every five years to ensure clarity and consistency of expectations for  
88 tenure across the University. (See section 5.1.)

### 89 **4.3 Eligibility and Probationary Period**

90 **4.3.1** Tenure is only awarded to a faculty member or administrator who has successfully  
91 completed a probationary period of tenure-track employment at UVU or another regionally  
92 accredited or recognized institution.

93 **4.3.2** The probationary period for tenure shall be six years of full-time, tenure-track employment.

94 **4.3.3** Probationary years may be fulfilled through previous employment in a tenure-track  
95 position at another regionally accredited or recognized institution as agreed upon at time of hire.

96 **4.3.4** The probationary period may be altered by circumstances that may include but are not  
97 limited to stoppage of the tenure clock, department transfer, administrative appointment during  
98 the probationary period, or agreements made at the time of hire.

99 **4.3.5** If a faculty member has been notified before the commencement of the final year of the  
100 probationary period that their employment shall not be continued, they are not eligible to apply  
101 for tenure.

### 102 **4.4 Review Process for Midterm and Tenure**

103 **4.4.1** The review process for midterm and tenure includes an annual review of the tenure plan  
104 and subsequent written feedback from the department chair to the probationary faculty member.  
105 Comprehensive reviews shall occur at the midterm of the probationary period and at the time of  
106 consideration for tenure in the final year of the probationary period.

107 **4.4.2** Evaluations for midterm or tenure review shall be based only on the materials required in  
108 the portfolio, as specified in this policy in section 5.6.

109 **4.4.3** The RTP committee, department chair, and dean shall make recommendations regarding  
110 retention of a probationary faculty member at midterm; the Provost makes the final  
111 determination regarding retention.

112 **4.4.4** The RTP committee, department chair, dean, and Provost make recommendations  
113 regarding tenure for a probationary faculty member; the President of the University, in  
114 consultation with the Board of Trustees, makes the final determination regarding tenure.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

#### 5.0 PROCEDURES

##### 5.1 Development and Application of RTP Criteria

**5.1.1** Discipline-appropriate RTP criteria developed by departments, colleges, or schools are subject to review and approval by the appropriate department faculty, dean, and Provost.

**5.1.2** The Faculty Senate Retention, Tenure, Promotion and Appeals Committee (RTP&A Committee) shall be responsible for reviewing RTP criteria for compliance with university policy. The committee shall initiate the review of approximately 20% of the department RTP criteria documents each year, ensuring that each RTP document is reviewed at least once every five years. The committee may recommend changes so that the criteria are in alignment with best practices and in compliance with university policy. These recommended changes shall be subject to review and approval by the department faculty, dean, and Provost. Departments must address these compliance changes within an academic year.

**5.1.3** Deans may also recommend changes to the RTP criteria, subject to review and approval by the department faculty and Provost. The Provost shall resolve any discrepancies between the recommendations of the department faculty and the dean.

**5.1.4** Faculty members are evaluated for tenure in accordance with the approved department, program, or college-/school-wide tenure criteria and the relevant tenure-related policy in place at the time of hire. Candidates for tenure may, upon their request and if approved by the department chair, dean, and Provost, be evaluated according to more recent tenure criteria, if the criteria are revised during their probationary period.

**5.1.5** The RTP criteria approval process is as follows:

**5.1.5.1** The department chair submits new or revised RTP criteria to the dean during Fall semester.

**5.1.5.2** Near the beginning of Spring semester, the dean approves the proposed criteria or provides the department a detailed list of recommended revisions based on university policy.

**5.1.5.3** If the dean requests revisions to RTP criteria, the department chair then consults with the department. If the department agrees with the suggested revisions, the RTP committee will make the changes. If the department does not agree with the suggested revisions, the department chair will provide a rationale to the dean in writing.

**5.1.5.4** The dean either approves the resubmitted proposed criteria or provides a written response to the department's comments and resubmission. The dean then forwards the following to the department chair and the Provost:



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

- 146 • The proposed RTP criteria;
- 147 • The department's response(s) if any; and
- 148 • Dean's response to the department, if any.

149 **5.1.5.5** The Provost evaluates the RTP criteria, the dean's recommendation(s), and the  
150 department's response(s), and then approves or provides a detailed list of recommended  
151 revisions to the dean and department chair based on university policy.

152 **5.1.5.6** In cases where the Provost recommends revisions, the department chair shall respond in  
153 writing. The Provost shall then review the department chair's responses and make final revisions  
154 before approving the RTP criteria.

155 **5.1.6** This process must be completed by May 1.

## 156 **5.2 Department or College-/School-wide RTP Committee Composition**

157 **5.2.1** A department or college-/school-wide retention, tenure, and promotion committee (RTP  
158 committee) shall consist of an odd number of at least five tenured faculty members elected by a  
159 simple majority of the tenured and tenure-track faculty of the department.

160 **5.2.2** When a sufficient number of tenured faculty members is not available and elected in a  
161 department, or other conditions exist that make clustering of departments desirable for evaluating  
162 faculty, the following options are available:

163 1) Under the direction of the dean, members may be elected from among tenured faculty  
164 members in other departments of related disciplines by the department tenured and tenure-track  
165 faculty.

166 2) Under the direction of the dean, departments of related disciplines may share the same RTP  
167 committee consisting of tenured faculty members elected by the tenured and tenure-track faculty  
168 of the affected departments.

169 3) The final composition of the RTP committee must be approved by the dean.

170 **5.2.3** Department chairs may vote as a faculty member for election of members to serve on RTP  
171 committees.

172 **5.2.4** Faculty members in full-time administrative positions may not vote for election of  
173 members to serve on RTP committees.

174 **5.2.5** The RTP committee annually elects one of its members as a chair.

175 **5.2.6** All members of the RTP committee must be in good standing. If any member of the RTP  
176 committee is found to be not in good standing, there must be a new election except when there is



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

not enough time for a new election or for a new electee to become familiar with all submissions. Such circumstances must be approved by the dean. Under such circumstances, the dean may appoint a temporary member of the RTP committee until a new election can take place.

**5.2.7** A department chair may not serve on the RTP committee of their own department.

**5.2.8** RTP recommendations are decided by a simple majority vote of the committee.

**5.2.9** RTP committee members serve a three-year term. Faculty members may serve an unlimited number of terms, but preferably no more than two terms in succession.

### **5.3 Tenure-Related Decisions at the Time of Hire**

**5.3.1** Faculty tenure status is determined at the time of initial hire. Faculty hired on the tenure-track typically enter the track in their first year of the probationary period.

**5.3.2** A candidate for hire into a tenure-track position may be granted up to four years toward tenure for equivalent tenure-track experience at other institutions if approved by the dean and Provost. The department determines the necessity and timing of a midterm review for candidates who are granted years toward tenure at the time of hire, and the dean and Provost approve the department's recommendation. Years awarded toward tenure shall not exceed the number of years actually served at previous institutions in a tenure-track position.

**5.3.3** If a newly hired faculty member or administrator has been awarded tenure previously at another regionally accredited institution or equivalent, they may be awarded tenure at hire, or after a specified period of full-time employment after hire as agreed upon at the time of hire. Tenure agreed upon at hire must be approved by the President, who shall consider recommendations by the appropriate RTP committee and in consultation with the Board of Trustees.

**5.3.4** Faculty granted years toward tenure must include material from their previous institution in their portfolio for each of those years awarded.

**5.3.5** Years awarded toward tenure or the granting of tenure at the time of hire shall be communicated to the faculty candidate in the letter of appointment. This letter must be included in the faculty member's portfolio.

**5.3.6** For faculty members who begin their employment in a tenure-track position with UVU at some time other than the beginning of Fall semester of the regular academic year, the dean shall recommend and the Provost shall approve the year in which the affected faculty member shall apply for midterm review and/or tenure. This determination shall be made in consultation with the prospective faculty member and documented at time of hire. A letter from Academic Affairs detailing this determination must be included in the faculty member's portfolio.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

#### **5.4 Orientation of New Faculty, Development, and Annual Review of the Tenure Plan**

**5.4.1** The department chair shall provide a copy of this tenure policy and the approved department RTP criteria to each newly hired tenure-track faculty member within the first month after hire.

**5.4.2** Within the first semester of hire in a tenure-track position, a new faculty member shall meet jointly with the department chair and the chair of the RTP committee to develop the expectations of the faculty member's performance during the probationary period, consistent with established department RTP criteria. The expectations agreed upon constitute the candidate's initial tenure plan. Such expectations shall be clear and reasonable, yet not overly prescriptive, allowing for a broad range of faculty achievement. The tenure plan shall be written and signed by the faculty member, department chair, and RTP committee chair. The faculty member should address the progress they are making toward their tenure goals in their annual reviews.

**5.4.3** In consultation with the department chair, the faculty member may change their tenure plan.

**5.4.4** Department chairs shall review and document the faculty member's progress toward tenure in annual reviews.

#### **5.5 The Faculty Portfolio**

**5.5.1** Candidates for midterm or tenure review are responsible for maintaining a digital portfolio in the institutionally approved system that documents their contributions and accomplishments in teaching, scholarly/creative works, and service, consistent with their department tenure criteria and university policy. The portfolio for tenure-track faculty members shall contain at least the following:

**5.5.1.1** A copy of the officially approved tenure criteria under which the faculty member is applying for midterm or tenure.

**5.5.1.2** For portfolios submitted for tenure, all copies of all midterm review recommendations.

**5.5.1.3** An introduction, not to exceed 1,500 words, in which the faculty member explains in what ways they have met the department's tenure criteria, discusses any factors that supported or hindered their progress, and provides any additional information that may assist reviewers in evaluating their portfolio. This is not to be confused with self-assessments (see below).

**5.5.1.4** A current curriculum vitae with sections on teaching, scholarship, and service.

**5.5.1.5** A section containing evidence of achievements in teaching, including



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

- 242 1) a self-assessment of the faculty member's teaching performance and effectiveness, including  
243 the extent to which students meet the established learning outcomes and any changes faculty  
244 members made over time to ensure students receive a rigorous and supportive educational  
245 experience;
- 246 2) department chair observations of in-person and/or virtual teaching, including reviews of  
247 course materials and an assessment on how pedagogy is aligned with learning outcomes. A  
248 minimum of two department chair observations are required, one before and one after midterm  
249 review, except in extenuating circumstances as approved by Academic Affairs;
- 250 3) peer observations of in-person and/or virtual teaching, including reviews of course materials  
251 and an assessment on how pedagogy is aligned with learning outcomes. A minimum of two peer  
252 observations are required, one before and one after midterm review, except in extenuating  
253 circumstances as approved by Academic Affairs;
- 254 4) complete and unaltered university-approved student evaluations of course and instruction  
255 from all course sections taught during all years of the probationary period;
- 256 5) professional development related to teaching—for example, attending teaching conferences or  
257 completing Office of Teaching and Learning classes or certifications;
- 258 6) contributions to improving the student experience, pedagogy, and the achievement of student  
259 learning outcomes—for example, documenting the evolution of syllabi and course materials that  
260 reflect rigor and course structure or documentation that students are achieving learning  
261 outcomes; and
- 262 7) other evidence related to teaching in accordance with department tenure criteria.
- 263 **5.5.1.6** A section containing evidence of achievements in scholarship/creative works, including
- 264 1) a self-assessment of the faculty member's scholarly/creative works performance,  
265 effectiveness, and contributions to the faculty member's discipline at the regional, national, or  
266 international level;
- 267 2) evidence of scholarly/creative works related to the faculty member's position and discipline at  
268 UVU in accordance with institutional standards (see Policy 635 *Faculty Rights and Professional*  
269 *Responsibilities* and department tenure criteria), which must include at least one work that has  
270 been published, presented, or exhibited, and that it must have been either competitively judged or  
271 peer-reviewed; and
- 272 3) if applicable to the discipline and allowed by department tenure criteria, discipline-related  
273 professional development, such as licenses, certifications, and continuing learning credits  
274 relevant to the faculty member's discipline.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

275 **5.5.1.7** A section containing evidence of contributions in service as it pertains directly to the  
276 faculty member's role at the University, including

- 277 1) a self-assessment of the faculty member's service performance and effectiveness;
- 278 2) department-related service, as outlined in Policy 635 *Faculty Rights and Professional*  
279 *Responsibilities*;
- 280 3) college/school service, such as Perkins grants, recruitment, college/schools designated by the  
281 dean, may be included but is not required, unless required by department tenure criteria;
- 282 4) university service may be included but is not required, unless required by department tenure  
283 criteria;
- 284 5) profession/discipline service as required by department tenure criteria; and
- 285 6) community service directly related to the mission of the University and the faculty member's  
286 position at UVU may be included but is not required, unless required by department tenure  
287 criteria.

288 **5.5.1.8** All annual reviews (see Policy 633 *Faculty Performance Evaluation and Feedback*) from  
289 the evaluation period. If an annual review was not conducted, the faculty member must include a  
290 detailed explanation as to why it was not conducted.

291 **5.5.1.9** Any notable awards or commendations related to the faculty member's role at the  
292 University.

293 **5.5.1.10** Any improvement plans with documentation of resolution (see Policy 633 *Faculty*  
294 *Performance Evaluation and Feedback*); written warnings; written sanctions, to which the  
295 candidate may include a written rebuttal (see Policy 649 *Faculty Sanction and Dismissal for*  
296 *Cause*); or previous letters of adverse decisions regarding advancement with documentation of  
297 resolution.

298 **5.5.2** Faculty members are responsible for including all required materials in the portfolio.  
299 Faculty must give a detailed explanation if required materials were not completed in accordance  
300 with policy. Missing materials shall not be considered.

## 301 **5.6 Midterm Review Processes**

302 **5.6.1** Unless the faculty member has been notified that their employment shall not be continued,  
303 the chair of the RTP committee shall notify the faculty member in writing by March 1 of the  
304 second probationary year that they must apply for midterm review by September 15 of the next  
305 academic year. By March 15 of the second probationary year, the chair of the RTP committee  
306 shall have consulted with the faculty member for input in determining suitable candidates from



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

307 whom to solicit external peer evaluations, if required by department tenure criteria. (See section  
308 5.6.1)

309 **5.6.2** If a faculty member does not submit a portfolio by September 15 of their third probationary  
310 year for midterm review, the department chair shall discuss the employment status of the faculty  
311 member with the dean. The dean shall consult with Academic Affairs about the employment  
312 options available under UVU policy, up to and including termination.

313 **5.6.3** The RTP committee chair or designee will review whether the portfolio contains all  
314 required materials and may request any required missing materials from the faculty member by  
315 September 22. The faculty member will have until September 29 to upload requested materials  
316 into the portfolio. No additional materials can be added after September 29, and the portfolio will  
317 be evaluated as submitted.

318 **5.6.4** The RTP committee shall review the portfolio according to university policy and approved  
319 department tenure criteria. They shall comment on the specific strengths and weaknesses,  
320 referencing evidence presented within the portfolio relative to the department tenure criteria and  
321 university policy. They must also state whether the portfolio is missing any required  
322 documentation. The RTP committee shall add its written review and recommendation for or  
323 against retention to the portfolio, including the vote tally that led to their recommendation.

324 **5.6.5** No later than October 15, the chair of the RTP committee shall forward the portfolio along  
325 with the committee's written recommendation to the department chair.

326 **5.6.6** No later than October 31, the department chair shall forward the portfolio along with a  
327 written recommendation to the dean. They shall comment on the specific strengths and  
328 weaknesses, referencing evidence presented within the portfolio relative to the department tenure  
329 criteria and university policy. They must also state whether the portfolio is missing any required  
330 documentation. If the department chair disagrees with the RTP committee's recommendation,  
331 they must provide a detailed rationale.

332 **5.6.7** No later than November 20, the dean will provide the candidate a copy of the external  
333 solicited peer evaluations (when required by department criteria, with the identifying information  
334 of the peer reviewer redacted) and the recommendations of the RTP committee, department  
335 chair, and dean. They shall comment on the specific strengths and weaknesses, referencing  
336 evidence presented within the portfolio relative to the department tenure criteria and university  
337 policy. They must also state whether the portfolio is missing any required documentation. If the  
338 dean disagrees with the RTP committee's or department chair's recommendation, they must  
339 provide a detailed rationale.

340 **5.6.8** No later than November 27, the faculty member may submit a written rebuttal to any  
341 recommendations up to and including the dean's review for inclusion in the portfolio. A written  
342 rebuttal may not include any additional evidence that is not already available in the portfolio.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

**5.6.9** After considering the faculty member's written rebuttal, the dean may add an addendum that either confirms or changes their recommendation. No later than December 4, the dean shall forward the portfolio along with all written recommendations and, if applicable, the faculty rebuttal and addendum, to the Provost.

**5.6.10** The Provost shall review the portfolio and render a written decision to the faculty member, dean, department chair, and chair of the RTP committee no later than March 1. If the decision is that the midterm faculty member is not to be retained, the candidate shall lose probationary status. The candidate may be terminated at the end of the academic year or be offered a one-year, terminal appointment for the next academic year, as determined by the dean and Provost.

**5.6.11** If a deadline specified in this policy does not fall on a business day, the deadline shall be extended to the next business day. Reasonable exceptions to these dates due to extraordinary circumstances may be allowed if approved by the Provost.

## **5.7 Tenure Review Processes**

**5.7.1** Unless the faculty member has been notified that their employment shall not be continued, the chair of the RTP committee shall notify the faculty member in writing by March 1 of the fifth probationary year that they must apply for tenure review by September 15 of the next academic year. By March 15 of the fifth probationary year, the chair of the RTP committee shall have consulted with the faculty member for input in determining suitable candidates from whom to solicit external peer evaluations, if required by department tenure criteria. (See section 5.6.1.)

**5.7.2** If a faculty member does not submit a portfolio by September 15 of their sixth probationary year for tenure review, the department chair shall discuss with the dean the employment status of the faculty member. The dean shall consult with Academic Affairs about the employment options available under UVU policy, up to and including termination.

**5.7.3** The RTP committee chair or designee will review whether the portfolio contains all required materials and may request any required missing materials from the faculty member by September 22. The faculty member will have until September 29 to upload requested materials into the portfolio. No additional materials can be added after September 29, and the portfolio will be evaluated as submitted.

**5.7.4** The RTP committee shall review the portfolio according to university policy and approved department tenure criteria. They shall comment on the specific strengths and weaknesses, referencing evidence presented within the portfolio relative to the department tenure criteria and university policy. They must also state whether the portfolio is missing any required documentation. The RTP committee shall add its written review and recommendation for or against retention to the portfolio, including the vote tally that led to their recommendation.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

**5.7.5** No later than October 15, the chair of the RTP committee shall forward the portfolio along with the committee's written recommendation to the department chair (or dean, if the faculty member is a department chair).

**5.7.6** No later than October 31, the department chair shall forward the portfolio along with a written recommendation to the dean (unless the faculty member is a department chair, in which case the RTP committee forwards the portfolio directly to the dean). They shall comment on the specific strengths and weaknesses, referencing evidence presented within the portfolio relative to the department tenure criteria and university policy. They must also state whether the portfolio is missing any required documentation. If the department chair disagrees with the RTP committee's recommendation, they must provide a detailed rationale.

**5.7.7** No later than November 20, the dean provides the candidate a copy of the external solicited peer evaluations (when required by department tenure criteria, with the identifying information of the peer reviewer redacted) and the recommendations of the RTP committee, department chair, and dean. They shall comment on the specific strengths and weaknesses, referencing evidence presented within the portfolio relative to the department tenure criteria and university policy. They must also state whether the portfolio is missing any required documentation. If the dean disagrees with the RTP committee's or department chair's recommendation, they must provide a detailed rationale.

**5.7.8** No later than November 27, the faculty member may submit a written rebuttal to any recommendations up to and including the dean's review for inclusion in the portfolio. A written rebuttal may not include any additional evidence that is not already available in the portfolio.

**5.7.9** After considering the faculty member's written rebuttal, the dean may add an addendum that either confirms or changes their recommendation. No later than December 4, the dean shall forward the portfolio along with all written recommendations and, if applicable, the faculty rebuttal and addendum, to the Provost.

**5.7.10** The Provost reviews the portfolio and forwards the portfolio and all written recommendations to the President of the University no later than March 1.

**5.7.11** The President of the University, in consultation with the Board of Trustees, decides whether to award or deny tenure. Within 14 calendar days of the President's decision, the Provost conveys the decision of the President to the faculty member, dean, and department chair. Faculty members who are denied tenure may be offered a one-year, terminal appointment for the next academic year.

**5.7.12** If a deadline specified in this policy does not fall on a business day, the deadline shall be extended to the next business day. Reasonable exceptions to these dates due to extraordinary circumstances may be allowed if approved by the Provost.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

#### 413 5.8 Summary of Dates in the Midterm and Tenure Review Processes

	Midterm and Tenure Review Process
March 1	RTP chair informs candidate of pending tenure application deadline and requests input in choosing peer evaluators.
March 15	RTP chair receives input from faculty member concerning candidate peer evaluators.  Requests for extensions or reductions of the probationary period must be received by the department chair (see sections 5.12 and 5.13).
April 15	Extensions or reductions are approved or denied by the Provost.
September 15	Candidate must submit their portfolio using the university-approved systems.
October 15	RTP committee submits the portfolio and recommendation to the department chair.
October 31	Department chair submits the portfolio and recommendation to the dean.
November 20	A copy of the external peer evaluations and the recommendations of the RTP committee, department chair, and dean becomes available to the candidate.
November 27	Final date for candidate to submit a written rebuttal to the dean.
December 4	Dean forwards the portfolio along with all written recommendations and, if applicable, the faculty rebuttal and addendum, to the Provost.
March 1	Provost makes the midterm decision or submits their tenure recommendation to the President of the University.  Provost conveys the midterm decision to the faculty member, dean, and department chair through the university-approved systems.
Late March	The President of the University, in consultation with the Board of Trustees, approves or denies awarding tenure.
March/April	Provost conveys the decision of the President to the faculty member, dean, and department chair through the university-approved systems.
April/May	Appeal process begins, if faculty member appeals.

414

#### 415 5.9 Evaluation of the Portfolio



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

**5.9.1** All reviews of the candidate by the RTP committee, department chair, dean, and Provost shall be added to the portfolio as each respective review is completed.

**5.9.2** During the evaluation process, the contents of the portfolio shall be kept confidential and only made available to those with responsibility for reviewing the faculty member's portfolio.

**5.9.3** In the case of midterm review, the RTP committee, department chair, and dean shall recommend for or against retention of the faculty member in a detailed report. The detailed report shall comment on the specific strengths and weaknesses, referencing evidence presented within the portfolio relative to the department tenure criteria and university policy. The committee must also state whether the portfolio is missing any required documentation. The RTP committee shall include the vote tally that led to their recommendation.

**5.9.4** In the case of tenure review, the RTP committee, department chair, and dean shall recommend for or against awarding tenure to the faculty member in a detailed report. The detailed report shall comment on the specific strengths and weaknesses, referencing evidence presented within the portfolio relative to the department tenure criteria and university policy. The committee must also state whether the portfolio is missing any required documentation. The RTP committee shall include the vote tally that led to their recommendation. The Provost shall provide a written recommendation for or against awarding tenure to the President.

**5.9.5** Candor is expected in all reviews and is critical to both the University and the candidate.

**5.9.6** During the midterm or tenure review process, recommendations by the RTP committee, department chair, dean, and Provost, addressed to the person at the next level of review, become part of the portfolio as it passes to each level of review.

**5.9.7** All portfolios shall be submitted via the university-approved system.

## **5.10 Department Transfer During the Probationary Period**

**5.10.1** Probationary years may be fulfilled in more than one department, subject to the recommendation of the respective department chairs, with input from the faculty involved, and if approved by the respective deans and the Provost.

**5.10.2** When possible, transfers during the probationary period shall be avoided in the years of midterm or tenure review unless the disciplines are so closely related that the tenure plan of the transfer candidate is applicable to the discipline of the new department. The tenure criteria under which a faculty member will be evaluated is decided on a case-by-case basis and in consultation with Academic Affairs.

**5.10.3** Any change to the length of the probationary period due to the transfer must be requested by the faculty member and approved by the chair of the new department, the dean of the new college/school, if applicable, and the Provost.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

#### 5.11 Tenure Clock Stoppage

**5.11.1** Upon request of a faculty member, the recommendations of the department chair and dean, and the approval of the Provost, the probationary period may be interrupted for a specified time when unplanned circumstances would justifiably prevent the faculty member from making progress on the tenure plan. Examples of such circumstances that may receive consideration include but are not limited to childbirth or adoption, military duty, or other extenuating medical, professional, or personal circumstances.

**5.11.2** Upon learning of qualifying extenuating circumstances, faculty members should submit a written request to their department chair for tenure clock stoppage. The department chair sends the request and their recommendation to the dean for review. The dean forwards the request and their recommendation to the Provost. The Provost shall make their final decision and convey it in writing to the faculty member.

#### 5.12 Request for Extension of the Probationary Period

**5.12.1** Extensions to the probationary period for tenure, while rarely granted, are possible. If the faculty member requests an extension, they shall submit a letter requesting and justifying the extension to the department chair by March 15 of the fifth year of the probationary period. Extensions to the probationary period shall be approved or denied by the department chair, dean, and Provost by April 15 of the faculty member's fifth year of the probationary period.

**5.12.2** Faculty members should submit a written request to their department chair for an extension through the university-approved systems. The department chair sends the request and their recommendation to the dean to review. The dean forwards the request and their recommendation to the Provost. The Provost shall make their final decision and convey it in writing to the faculty member.

#### 5.13 Request for Reduction of the Probationary Period

**5.13.1** Faculty who were awarded tenured or in tenure-track positions at accredited institutions previous to being hired on a tenure-track position at UVU may request a reduction of the probationary period. Faculty must provide evidence of teaching, scholarship/creative works, and service toward tenure at the previous institution. Evidence allowed must be determined in consultation with the dean and the Provost or their designee.

**5.13.2** In rare cases, and when accompanied by evidence of extraordinary performance in teaching, scholarship/creative works, and service by the faculty member, the probationary period for tenure may be reduced if requested by the faculty member and approved by the RTP committee, department chair, dean, and Provost. Evidence must demonstrate sustained extraordinary work comparable to faculty who are completing their full probationary period.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

**5.13.3** Faculty members should submit a written request for a reduction to their department chair with required evidence attached. The department chair sends the request and their recommendation to the dean to review. The dean forwards the request and their recommendation to the Provost. The Provost shall make the final decision and convey it in writing to the faculty member.

#### **5.14 Administrative Appointments during the Tenure-Track Period**

**5.14.1** A tenure-track faculty member shall normally retain probationary status, and their tenure clock will continue to run while serving in an administrative position within the University. In unusual circumstances, the faculty member's tenure clock may be stopped while serving in an administrative position, if approved by the dean and Provost.

#### **5.15 Appeals**

**5.15.1** A faculty member may appeal decisions relating to a denial of tenure or a non-renewal of appointment resulting from a midterm review according to the provisions and timelines outlined in UVU Policy 646 *Faculty Appeals for Retention, Tenure, and Promotion*.

POLICY HISTORY		
<b>Date of Last Formal Review:</b> <a href="#">Click here to enter a date.</a>		
<b>Due Date of Next Review:</b> <a href="#">Click here to enter a date.</a>		
Date of Last Action	Action Taken	Authorizing Entity
June 10, 2017	Limited Scope changes, Regular policy process, approved.	UVU Board of Trustees
June 22, 2017	Revised policy approved	UVU Board of Trustees
April 29 2021	Revised policy with limited scope revisions approved.	UVU Board of Trustees
April 25, 2024	Compliance change, mandated by HB 438, Utah Legislature, approved	UVU President's Council
May 6, 2024	Compliance change ratified	UVU Board of Trustees
	Policy revised under regular process.	UVU Board of Trustees



# UTAH VALLEY UNIVERSITY

## Policies and Procedures

1

<b>POLICY TITLE</b>	Faculty Tenure	<b>Policy Number</b>	637
<b>Section</b>	Academics	<b>Approval Date</b>	April 29, 2021
<b>Subsection</b>	Faculty	<b>Effective Date</b>	April 29, 2021
<b>Responsible Office</b>	Office of the Provost/Academic Affairs		

### 1.0 PURPOSE

2 ~~1.2 This policy establishes the requirements and procedures for achieving tenure at Utah Valley~~  
3 ~~University.~~

### 2.0 REFERENCES

- 4 ~~American Association of University Professors' 1940 Statement of Principles on Academic~~  
5 ~~Freedom and Tenure~~
- 6 ~~Utah Board of Higher Education Policy R312 Configuration of the Utah System of Higher~~  
7 ~~Education and Institutional Missions and Roles~~
- 8 ~~Utah Board of Higher Education Policy R481 Academic Freedom, Professional Responsibility,~~  
9 ~~Tenure, Termination, and Post Tenure Review~~
- 10 ~~Utah Board of Higher Education Policy R482 Bona Fide Financial Exigency and Personnel~~  
11 ~~Reduction~~
- 12 ~~UVU Policy 165 Discrimination, Harassment, and Affirmative Action~~
- 13 ~~UVU 600 Series Academic Policies~~

### 3.0 DEFINITIONS

- 14 ~~**Academic year:** The period beginning Fall semester and ending with the subsequent Spring~~  
15 ~~semester.~~
- 16 ~~**Department:** A group of salaried, benefits-eligible faculty members from the same or related~~  
17 ~~disciplines that are authorized by the Provost to act as an academic unit in evaluating faculty~~  
18 ~~peers for retention, tenure, and promotion.~~



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

**Faculty portfolio:** A collection of documents prepared by a faculty member as evidence of their contributions in teaching, scholarly and creative works, and service to their profession and the University. Documents may be stored electronically. (See section 5.6.1.)

**Midterm review:** A comprehensive review of a faculty member's faculty portfolio to evaluate progress on their tenure plan. This review typically takes place during the third year of the probationary period and considers the faculty member's contributions throughout the previous two years of tenure track service.

**Probationary year:** A year in which a faculty member is in a tenure track position but is not yet tenured.

**Retention, tenure, and promotion committee (RTP committee):** A group of tenured faculty members that evaluates faculty peers for recommendations for or against retention, tenure, or promotion. RTP committees may serve a single academic department, a cluster of academic departments in the same school, or an entire school. (See section 5.2.)

**Service:** For the purposes of this policy, refers to service activities at the University, to one's profession, and in the community that are clearly related to the faculty member's role.

**Tenure:** A condition of continuing employment, awarded to qualified faculty members, that promotes academic freedom, attracts professionals of ability, and enhances the quality of the University's academic programs.

**Tenure plan:** An outline of proposed goals and achievements, to be completed by a faculty member during the probationary period, related to teaching, scholarly and creative works, and service.

**Tenure review:** A comprehensive review of a faculty member's faculty portfolio to determine whether or not the faculty member shall be awarded tenure. This review typically takes place during the sixth year of the probationary period and considers the faculty member's contributions throughout the previous five years.

**Tenure review portfolio:** The collection of documents consisting of a faculty member's faculty portfolio submitted for evaluation for tenure or midterm review, a copy of the relevant tenure criteria, copies of annual reviews, peer and other evaluations solicited by the RTP committee during the review process, Students Ratings of Instruction (SRI) for the evaluation period, and all applicable recommendations from the RTP committee, department chair, dean, Provost, President of the University, and Board of Trustees, as applicable, as well as any optional written responses of the faculty member submitted during the review process in response to letters of the various reviewers.

**Termination for cause:** Dismissal of tenured faculty for professional incompetence, serious misconduct or unethical behavior, serious violation of university policies and procedures, or



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

substantially impaired performance due to health reasons. (See Utah Board of Regents Policy R481.)

**University Tenure Advisory Committee (Advisory Committee):** A Faculty Senate committee charged with reviewing tenure candidates' tenure review portfolios and advising the Provost on whether each portfolio satisfies department and university criteria for tenure review portfolios. (See section 5.3.)

**Faculty Senate Retention, Tenure, Promotion and Appeals Committee (RTP&A Committee):** A standing committee of Faculty Senate that encourages equity and rigor in department tenure criteria, promotes adherence to the policies of the University, considers appeals of tenure decisions, and advises on matters of tenure policy.

#### 4.0 POLICY

#### 4.5 Awarding of Tenure

**4.5.1** Tenure is awarded by the Board of Trustees based upon the recommendations of the RTP committee, department chair, dean, Provost, and the President of the University.

**4.5.2** Recommendations of the reviewing bodies are to be based upon university policies and evaluations of the tenure review portfolio with respect to approved department tenure criteria.

**4.5.3** Tenure shall be awarded when a faculty member demonstrates sustained, expected levels of teaching effectiveness, scholarly and creative endeavors, and service to the profession, the University, and the community, as set forth in the approved department tenure criteria and in accordance with all 600-series academic policies relevant to the faculty member's position. Faculty are also expected not to discriminate on the basis of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age (40 and over), disability, veteran status, pregnancy, childbirth, or pregnancy-related conditions, genetic information, or other bases protected by applicable federal, state, or local law, as consistent with the University's Policy 165 on prohibited discrimination, harassment and related misconduct.

**4.5.4** A faculty member's tenure award is tied to one specific academic department. When a faculty member transfers to another department during the probationary period or after tenure, the approved procedures of the new department determine the transfer candidate's tenure status. (See section 5.9.1.)

**4.5.5** Tenured status shall become effective on July 1 following approval from the Board of Trustees.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

#### **4.6 Development and Review of Criteria for Awarding Tenure**

**4.6.1** Each department shall develop tenure criteria that establish the expected levels of faculty performance in teaching, scholarly and creative endeavors, and service in accordance with the standards of their respective disciplines, consistent with the principles and practices specified in UVU Policy 635 *Faculty Rights and Professional Responsibilities*, and in accordance with the mission of the University.

**4.6.2** Tenure criteria documents shall be sufficiently detailed that faculty members can develop a plan for achieving tenure by the end of the probationary period and shall provide for variations in assigned workload.

**4.6.3** Tenure criteria shall undergo multiple levels of review and approval at least every five years to assure clarity and consistency of expectations for tenure across the University. (See section 5.1.)

#### **4.7 Eligibility and Probationary Period**

**4.7.1** Tenure is only awarded to a faculty member or administrator who has successfully completed a probationary period of tenure-track service at the University or another regionally accredited or recognized institution.

**4.7.2** The probationary period for tenure shall be six years of full-time, tenure-track service.

**4.7.3** Probationary years may be fulfilled through previous employment in a tenure-track position at other regionally accredited or recognized international institutions as agreed upon at time of hire.

**4.7.4** The probationary period and conditions for awarding tenure may be altered by circumstances that may include but are not limited to stoppage of the tenure clock, department transfer, administrative appointment during the probationary period, or agreements made at the time of hire.

**4.7.5** Faculty members who have been notified before the commencement of the final year of the probationary period that their employment shall not be continued are not eligible to apply for tenure.

#### **4.8 Review Process for Tenure**

**4.8.1** The review process for tenure includes an annual review of the tenure plan and subsequent written feedback from the department chair to a probationary faculty member. Comprehensive reviews shall occur at midterm in the probationary period and at the time of consideration for tenure in the final year of the probationary period.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

~~4.8.2 Evaluations for midterm or tenure review shall be based only on the material in the tenure review portfolio. (See section 5.6.2.)~~

~~4.8.3 Recommendations regarding retention of a probationary faculty member at midterm shall be made by the RTP committee, department chair, and dean, with final determination regarding retention made by the Provost.~~

~~4.8.4 Recommendations regarding tenure for a probationary faculty member shall be made by the RTP committee, department chair, dean, Provost, and President of the University, with final determination regarding tenure made by the Board of Trustees.~~

#### ~~4.9 Responsibilities of the Tenured Faculty Member and the University~~

~~4.9.1 A tenured faculty member shall make ongoing contributions in teaching, scholarly and creative work, and service in support of the mission of the University. Tenure presupposes reciprocal responsibilities between the faculty member and the University. The University shall respect the rights of faculty pertaining to academic freedom and may not dismiss a tenured faculty member without cause except in the case of a bona fide program or unit discontinuance, or under circumstances of financial exigency.~~

### 5.0 PROCEDURES

#### ~~Development and Application of Tenure Criteria~~

~~5.15.2 Each department shall develop discipline appropriate tenure and promotion criteria, consistent with university policy and mission, and subject to review and approval by the department faculty, dean, and Provost.~~

~~5.15.3 The Faculty Senate Retention, Tenure, Promotion and Appeals Committee (RTP&A Committee) shall have responsibility for reviewing department tenure criteria for compliance with this policy. The committee shall review approximately 20% of the department RTP criteria documents each year, ensuring that each RTP document is reviewed at least once every five years. The committee may recommend changes in the criteria, which shall be subject to review and approval by the department faculty, dean, and Provost.~~

~~5.15.4 Deans may also recommend changes to the department tenure criteria, subject to review and approval by the department faculty and Provost. The Provost shall resolve any discrepancies between the recommendations of the department faculty and the dean.~~

~~5.15.5 Faculty members are evaluated for tenure in accordance with the approved department, program, or school tenure criteria, and university policy in place at the time of hire. Candidates for tenure may, upon their request and if approved by the department chair, dean, and Provost, be~~



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

147 evaluated according to more recent tenure criteria, if the criteria is revised during their  
148 probationary period.

149 **5.15.6** The following is the timeline for RTP criteria approval:

Task	Timeline (fall or spring semester)
The department chair provides new or revised RTP criteria to the dean.	September 15 or January 17
Dean approves the proposed criteria or provides a detailed list of recommended revisions based on university policy to the department.	By October 4 or February 7
If the dean requests revisions to RTP criteria, department chair consults with the department. If the department agrees with the suggested revisions, the RTP committee will make the changes. If not, the department chair will provide a rationale to the dean in writing.	By October 25 or February 28
Dean approves the proposed criteria or provides a written response to the department's comments and forwards the following to the department chair and the Provost: <ul style="list-style-type: none"><li>• The proposed RTP criteria,</li><li>• The department's response(s) if any,</li><li>• Dean's response to the department if any.</li></ul>	By November 15 or March 20
Provost evaluates the RTP criteria, the dean's recommendation(s), and the department's response(s), and then approves or provides a detailed list of recommended revisions to the dean and department chair based on university policy.	By December 6 or April 10
In cases where the Provost recommends revisions, the department chair shall respond in writing; then the Provost shall review the department chair's responses and make final revisions before approving the RTP criteria.	By January 5 or May 1

### 150 **RTP Committee Composition**

151 **5.15.7** A retention, tenure, and promotion committee (RTP committee) shall consist of an odd  
152 number of at least five tenured faculty members elected by a simple majority of the tenured and  
153 tenure-track faculty of the department.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

~~5.15.8 When a sufficient number of tenured faculty members is not available and elected in a department, or other conditions exist that make clustering of departments desirable for evaluating faculty, the following options are available:~~

~~1) Under the direction of the dean, members may be elected by the department tenured and tenure-track faculty from among tenured faculty members in other departments of related disciplines.~~

~~2) Under the direction of the dean, departments of related disciplines may share the same RTP committee consisting of tenured faculty members elected by the tenured and tenure-track faculty of the affected departments.~~

~~3) In either case, the final composition of the RTP committee must be approved by the dean.~~

~~5.15.9 Department chairs may vote as a faculty member for election of members to serve on RTP committees.~~

~~5.15.10 Faculty members in full time administrative positions may not vote for election of members to serve on RTP committees.~~

~~5.15.11 The RTP committee elects annually one of its members as a chair.~~

~~5.15.12 A department chair may not serve on the RTP committee of their own department.~~

~~5.15.13 RTP recommendations are decided by a simple majority vote.~~

~~5.15.14 RTP committee members serve a three-year term. Faculty members may serve an unlimited number of terms, but preferably no more than two terms in succession.~~

#### **5.16 Composition of the University Tenure Advisory Committee**

~~5.16.1 The University Tenure Advisory Committee (Advisory Committee) shall consist of one tenured faculty member from each college/school. These committee members shall be nominated through and elected by the college/school tenured and tenure-track faculty. College/school elections shall be conducted by the Faculty Senate Elections Committee through common procedures. The initial cohort will serve staggered two-year, three-year, or four-year terms. After the members of the initial cohort have completed their term of service, three-year terms shall become the standard term length.~~

~~5.16.2 Advisory Committee members shall elect a committee chair from among the members of the committee. The committee chair shall serve in this capacity until their term on the committee ends.~~



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

~~5.16.3 Advisory Committee members must demonstrate commitment to the teaching mission of the University, maintain confidentiality, and attend required meetings for the evaluation of tenure review portfolios.~~

~~5.16.4 Advisory Committee members are expected to read, understand, and apply~~

~~1) University RTP criteria,~~

~~2) Department/college RTP criteria as they apply to each candidate being considered for tenure, and~~

~~3) University policies.~~

~~5.16.5 Advisory Committee members are also expected to critically review tenure review portfolios against approved department and university requirements and university policies.~~

#### ~~5.17 Tenure-Related Decisions at the Time of Hire~~

~~5.17.1 Faculty tenure status is determined at the time of initial hire. Faculty hired on the tenure track typically enter the track in their first probationary year.~~

~~5.17.2 A candidate for hire into a tenure track position may be granted up to four years toward tenure for equivalent tenure track experience at other institutions if approved by the dean and Provost. A determination of the necessity and timing of a midterm review of candidates for hire who are granted three or four years toward tenure at the time of hire is recommended by the department and approved by the dean and Provost. Years awarded toward tenure shall not exceed the number of years actually served at previous institutions in tenure track.~~

~~5.17.3 If a newly hired faculty member or administrator has been awarded tenure previously at another regionally accredited institution or equivalent, he or she may be awarded tenure at hire, or after a specified period of full-time employment after hire as agreed upon at the time of hire, if approved by the Board of Trustees which shall consider recommendation by the appropriate RTP committee.~~

~~5.17.4 Years awarded toward tenure or the granting of tenure at the time of hire shall be communicated to the faculty candidate in the letter of appointment.~~

~~5.17.5 For faculty members who begin their employment in a tenure track position with UVU at some time other than the beginning of Fall semester of the regular academic year, the dean shall recommend and the Provost approve the year in which the affected faculty member shall apply for midterm review and/or tenure. This determination shall be made in consultation with the prospective faculty member and documented at time of hire.~~



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

#### **5.18 Orientation of New Faculty, Development, and Annual Review of the Tenure Plan**

**5.18.1** The department chair shall provide a copy of this tenure policy and the approved department specific tenure criteria to each newly hired tenure track faculty member within the first month after hire.

**5.18.2** Within the first semester of hire in a tenure track position, a new faculty member shall meet jointly with the department chair and the chair of the RTP committee to develop the expectations of the faculty member's performance during the probationary period, consistent with established department tenure criteria. The expectations agreed upon constitute the candidate's initial tenure plan. Such expectations shall be clear and reasonable, yet not overly prescriptive, allowing for a broad range of faculty achievement. The tenure plan shall be written; signed by the faculty member, department chair, and RTP committee chair; and a copy shall be placed in the faculty member's official personnel file.

**5.18.3** Department chairs shall review and document the faculty member's progress toward tenure in annual reviews. If the faculty member is serving as a department chair while on tenure track, the dean shall review and document the department chair's progress toward tenure in annual reviews during the faculty member's tenure as department chair.

#### **5.19 The Faculty Portfolio and the Tenure Review Portfolio**

**5.19.1** Candidates for tenure are responsible for maintaining a faculty portfolio that documents their contributions and accomplishments in teaching, scholarly and creative works, and professional service, consistent with department tenure criteria. The faculty portfolio shall contain at least the following:

- 1) A detailed table of contents listing every entry in the portfolio
- 2) A brief statement wherein the faculty member describes the nature of their contribution to the profession and to the University, the extent to which department expectations were met, any circumstances that helped or hindered their progress, and any other information that shall be beneficial to the reviewers in evaluating the material in the portfolio
- 3) A current curriculum vitae
- 4) A section containing evidence of achievements in teaching, including a self-assessment of the faculty member's teaching performance and experiences, a supervisor assessment, peer assessments, Students Ratings of Instruction (SRI) from all courses taught during the evaluation period, evidence of contributions to curriculum and course development, professional development related to teaching, and any other evidence related to teaching
- 5) A section containing evidence of scholarly and/or creative works, such as publications, presentations, performances, and discipline related professional development



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

6) A section containing evidence of discipline-related service to the department, the college/school, the University, the profession, and the community

**5.19.2** The tenure review portfolio is created by the chair of the RTP committee when the faculty member submits their faculty portfolio at the time of midterm or tenure review. The RTP committee chair creates the initial tenure review portfolio by combining the following with the faculty portfolio: (1) Copies of the faculty member's annual reviews from the evaluation period; (2) the tenure criteria against which the faculty member shall be evaluated, and (3) all solicited peer evaluations. All reviews of the candidate by the RTP committee, department chair, dean, Provost, and President of the University shall be added to the tenure review portfolio as each respective review is completed.

**5.19.3** During the evaluation process, the contents of the tenure review portfolio shall be kept confidential and only made available to those with responsibility for reviewing the faculty member's portfolio.

#### **5.19.4 Evaluations**

**5.19.4.1** Student evaluations of teaching shall take place each semester for each course assigned to the faculty member. Additional student evaluations may be conducted as determined by the department chair or dean. All student evaluation results shall be included by the faculty member in the faculty portfolio. (See UVU Policy 631 *Student Evaluations of Faculty and Courses*.)

**5.19.4.2** In the year of midterm or tenure review, the RTP committee, in consultation with the faculty member and the department chair, shall solicit peer evaluations of the teaching, scholarly or creative works, and service of the faculty member. Soliciting evaluations of scholarly and/or creative work from peers outside the University is encouraged. These evaluations shall be added to the tenure review portfolio by the RTP committee chair. Identification of the peer reviewers shall be known to the RTP committee and others charged with reviewing the tenure review portfolio, but shall not be disclosed to the tenure candidate unless identification becomes material during a tenure appeal.

**5.19.4.3** In the case of midterm review, the RTP committee shall recommend for or against retention of the faculty member in a detailed report. The report shall comment on the strengths and weaknesses of the faculty member relative to the department tenure criteria and shall include the vote tally that led to the final decision. If the decision is to retain the probationary faculty member, the report shall provide comments and recommendations concerning the faculty member's progress toward tenure.

**5.19.4.4** In the case of tenure review, the RTP committee shall recommend for or against tenure of the faculty member in a detailed report. The report shall comment on the strengths and weaknesses of the faculty member relative to the department tenure criteria and shall include the vote tally that led to the final decision.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

~~5.19.4.5 Candor is expected and is critical to both the University and the candidate for tenure in all reviews.~~

~~5.19.5 During the midterm or tenure review process, recommendations by the RTP committee, department chair, dean, and Provost, addressed to the person at the next level of review, become part of the tenure review portfolio as it passes to each level of review. Recommendations that disagree with those made at a previous level of review shall be explained in the accompanying recommendation document.~~

~~5.19.6 The tenure review portfolio shall be returned to the faculty member within 14 days after the final decision for midterm or tenure review. Copies of the peer reviews with the identifying information of the peer reviewer redacted shall be included in the candidate's faculty tenure review portfolio when it is returned to the candidate at the end of the review process. Peer reviews with the identifying information of the peer reviewer intact shall be retained in a confidential file in the Office of the Provost. In the case of a negative decision, a copy of the tenure portfolio shall be kept with Academic Affairs until any associated appeal process has concluded.~~

~~5.19.7 Electronic portfolios and hard-copy portfolios shall be handled in the same way. Electronic files used in midterm and tenure reviews must reside in systems provided or approved by the University.~~

#### **Midterm and Tenure Review Processes**

~~5.19.8 Unless the faculty member has been notified that their employment shall not be continued, the chair of the RTP committee shall notify the faculty member in writing by March 1 of the fifth probationary year that he or she must apply for tenure by September 15 of the next academic year. By March 15 the chair of the RTP committee shall have consulted with the faculty member for input in determining suitable candidates from whom to solicit peer evaluations. (See section 5.6.4.2.)~~

~~5.19.9 Faculty members apply for midterm review or tenure in the Fall semester of the third or sixth year of the probationary period, respectively. By September 15, faculty members shall apply for midterm review or tenure by submitting a letter of application and their faculty portfolio to the chair of the RTP committee. Portfolios and letters of application may be delivered electronically.~~

~~5.19.10 If a faculty member does not submit a portfolio for midterm review or tenure, the RTP committee shall discuss with the department chair the possibility and propriety of a one-year terminal appointment. The department chair shall write a recommendation for or against a one-year terminal appointment and submit it to the dean. The dean shall write a similar recommendation and submit it to the Provost. The Provost shall make a final determination regarding the faculty member's terminal appointment, and shall inform the faculty member, department chair, and dean of the decision in writing.~~



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

**5.19.11** The RTP committee creates the faculty member's tenure review portfolio, which consists initially of the faculty portfolio and the evaluations described in section 5.6. The RTP committee may request any additional information from the faculty member and/or peers that it deems appropriate. The RTP committee shall review the tenure review portfolio according to approved university policy and department tenure criteria. The RTP committee adds its written review and recommendation for or against retention or tenure, as appropriate, to the tenure review portfolio.

**5.19.12** By October 7, the chair of the RTP committee shall forward the tenure review portfolio along with the committee's written recommendation to the department chair (or dean, if the faculty member is a department chair).

**5.19.13** No later than October 21, the department chair shall forward the tenure review portfolio along with a written recommendation to the dean (unless the faculty member is a department chair, in which case the RTP committee forwards the tenure review portfolio directly to the dean).

**5.19.14** By November 7, the dean provides a copy of the solicited peer evaluations (with the identifying information of the peer reviewer redacted) and the recommendations of the RTP committee, department chair, and dean to the candidate. No later than November 14, the faculty member may deliver a written response to all recommendations up to that point to the dean for inclusion in the tenure review portfolio.

**5.19.15** No later than December 1, the dean shall forward the tenure review portfolio along with all written recommendations and faculty response, if any, to the Provost.

**5.19.16** The Provost's office shall provide to the Advisory Committee a list of all of the tenure candidates, so that tenure review portfolio assignments for committee members can be made prior to but no later than December 1.

**5.19.17** The Advisory Committee shall assess each tenure review portfolio. Each portfolio will be reviewed by a minimum of three Advisory Committee members. The process and portfolio content assessment form used by the committee shall be based on university criteria as defined in section 4.2 of this policy and in UVU Policy 635 *Faculty Rights and Professional Responsibilities*. The Advisory Committee review shall verify that each tenure review portfolio (1) fulfills university and department requirements, (2) is complete, (3) has been considered equitably at the prior levels of review, and (4) represents procedural fairness and quality at the prior levels of review. The Advisory Committee shall not review the quality of a tenure review portfolio's specific contents. The Advisory Committee shall complete an assessment form for each tenure review portfolio and classify it as either unproblematic or problematic. If a portfolio is found to be problematic, the committee shall provide comments explaining the reason(s). This assessment form will be made available to tenure candidates at the beginning of the tenure process to assist them in the preparation and organization of their tenure review portfolio.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

358 ~~5.19.17.1 Tenure review portfolios shall be deemed unproblematic if they contain all of the~~  
359 ~~following elements:~~

360 ~~1) The tenure review portfolio contains, in order, all requisite documents addressing the relevant~~  
361 ~~criteria for promotion, tenure, or both.~~

362 ~~2) The department RTP committee vote was unanimous and clearly based on department and~~  
363 ~~university criteria and university policies.~~

364 ~~3) A detailed department RTP committee recommendation letter unambiguously, and clearly~~  
365 ~~based on department and university criteria and university policies and without a dissenting or~~  
366 ~~concurring opinion, unanimously recommends promotion and/or tenure, or denial of the same.~~

367 ~~4) The detailed recommendation letters from the tenure candidate's department chair and dean~~  
368 ~~also unambiguously and clearly based on department and university criteria and university~~  
369 ~~policies, recommend promotion and/or tenure, or denial of promotion and/or tenure.~~

370 ~~5) The tenure candidate does not submit in writing within timeframes established by other RTP~~  
371 ~~policies any objection to the criteria applied to their review or point to some other factor~~  
372 ~~sufficient to change the review result in response to factors 1-4 above.~~

373 ~~5.19.17.2 Tenure review portfolios may be deemed problematic if they contain one or more of~~  
374 ~~the following issues:~~

375 ~~1) The tenure review portfolio does not contain, in order, all requisite documents addressing the~~  
376 ~~relevant criteria.~~

377 ~~2) The department RTP committee vote was not unanimous or was not clearly based on~~  
378 ~~department and university criteria and university policies.~~

379 ~~3) The department RTP letter contains a dissenting or concurring view, sufficient to raise a~~  
380 ~~problem with the tenure candidate's application for tenure.~~

381 ~~4) The tenure candidate's department chair and/or dean failed to unambiguously support the~~  
382 ~~applicant or placed a letter in the applicant's file disclosing one or more substantive problems~~  
383 ~~with the applicant meeting the relevant criteria for promotion and/or tenure.~~

384 ~~5) The tenure candidate contests the result of any of the deficiencies or problems contained~~  
385 ~~within items 1-4 above and raises plausible reasons to suspect that the result might have been~~  
386 ~~erroneous.~~

387 ~~6) The Provost notes that required documents appear to be missing or present, contrary to the~~  
388 ~~recommendations at any lower level, and wishes additional review for timely clarification.~~



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

~~5.19.17.3 If a portfolio is deemed unproblematic, no further evaluation by the Advisory Committee is required; the Advisory Committee reports that the tenure review portfolio is in order and that no further assessment is necessary. If the portfolio is found to be problematic, the Advisory Committee shall conduct a thorough review of the tenure review portfolio and provide its views on the portfolio as a whole, as well as its views on any of the deficiencies or problems noted. If any problem or deficiency found in the tenure review portfolio is potentially rectifiable or was not adequately considered, the tenure candidate will be given an opportunity to address the problem or deficiency, and the tenure candidate's response shall be included with the Advisory Committee's report. The committee may set a reasonable timeframe of no more than 14 calendar days for the candidate to respond in writing.~~

~~5.19.18 The Advisory Committee shall forward the findings for each tenure review portfolio to the Provost no later than February 15. The Provost shall make final tenure recommendations based upon university policies and the quality and content of a candidate's tenure review portfolio.~~

~~5.19.19 In cases of midterm review, the Provost shall review the tenure review portfolio and render a written decision to the faculty member, dean, department chair, and chair of the RTP committee no later than March 1. If the decision is that the midterm faculty member is not to be retained, the candidate shall lose probationary status. The candidate shall be offered a one year, terminal appointment for the next academic year.~~

~~5.19.20 In cases of tenure review, the Provost reviews the tenure review portfolio and forwards their written recommendation to the President of the University no later than March 1.~~

~~5.19.21 The President of the University forwards their recommendation to the Board of Trustees for consideration at its next meeting. The Board of Trustees decides whether to award or deny tenure. Within 14 days, the Provost conveys the decision of the Board of Trustees to the faculty member by letter. Copies of the letter are sent to the dean and department chair. Faculty members who are denied tenure shall be offered a one year, terminal appointment for the next academic year, except in cases of termination for cause, due to a bona fide program or unit discontinuance, or financial exigency.~~

~~5.19.22 If a deadline specified in this policy does not fall on a business day, the deadline shall be extended to the next business day. Reasonable exceptions to these dates due to extraordinary circumstances may be allowed if approved by the Provost.~~



# **UTAH VALLEY UNIVERSITY** Policies and Procedures

## 420 **5.20 Summary of Dates in the Midterm and Tenure Review Processes**

-	<b>Candidate is NOT a Department Chair</b>	<b>Candidate IS a Department Chair</b>
March 1	RTP chair informs candidate of pending tenure application deadline and requests input in choosing peer evaluators.	
March 15	RTP chair receives input from faculty member concerning candidate peer evaluators.  Requests for one-year extensions to the probationary period must be received by the department chair by this date (see section 5.10.1).	
April 15	One-year extensions approved or denied by the RTP committee, department chair, dean, and Provost.	
September 15	Candidate requests midterm review or tenure by submitting a letter of application and faculty portfolio to the RTP chair.	
October 7	RTP committee submits the tenure review portfolio and recommendation to the department chair.	RTP committee submits the tenure review portfolio and recommendation to the dean.
October 21	Department chair submits tenure review portfolio and recommendation to the dean.	N/A
November 7	Dean delivers a copy of the solicited peer evaluations and the recommendations of the RTP committee, department chair, and dean to the candidate.	
November 14	Final date for candidate to submit a written response to the dean.	
December 1	Dean submits tenure review portfolio, which includes all recommendations and the faculty response, if any, to the Provost.	
February 15	Advisory Committee forwards findings for each tenure review portfolio to the Provost.	
March 1	Provost midterm decision due, or Provost final tenure recommendation submitted to the President of the University.	
March	The President of the University presents recommendation to the Board of Trustees.	
Late March	Board of Trustees approves or denies tenure.	
March/April	Decision delivered to candidate in writing.	
April/May	Appeal process, if candidate appeals.	



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

At Conclusion of Process	Candidate retrieves tenure review portfolio (with identifying information of peer reviewers redacted) from the Provost.
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#### **5.21 Adjustments to the Probationary Period**

##### **5.21.1 Department Transfer during the Probationary Period**

**5.21.1.1** Probationary years may be fulfilled in more than one department, subject to the recommendation of the respective department chairs, with input from the faculty involved, and if approved by the respective deans and the Provost.

**5.21.1.2** When possible, transfers during the probationary period shall be avoided in the years of midterm or tenure review unless the disciplines are so closely related that the tenure plan of the transfer candidate is applicable to the discipline of the new department.

**5.21.1.3** Any change to the length of the probationary period must be requested by the faculty member and approved by the chair of the new department, the dean of the new college/school, if applicable, and the Provost.

##### **5.21.2 Tenure Clock Stoppage**

**5.21.2.1** Upon request of a faculty member, the recommendations of the department chair and dean, and the approval of the Provost, the probationary period may be interrupted for a specified time when circumstances would justifiably prevent the faculty member from making progress on the tenure plan. Examples of such circumstances that may receive consideration include, but are not limited to, childbirth or adoption, military duty, or other extenuating medical, professional, or personal circumstances.

#### **5.22 Request for Extension of the Probationary Period**

**5.22.1** One-year extensions to the probationary period for tenure, while rarely granted, are possible. If the faculty member requests a one-year extension, he or she shall submit a letter requesting and justifying the extension to the department chair by March 15 of the fifth year of the probationary period. Extensions to the probationary period shall be approved or denied by the RTP committee, department chair, dean, and Provost by April 15 of the faculty member's fifth probationary year.

#### **5.11 Request for Reduction of the Probationary Period**

**5.11.1** In rare cases, and when accompanied by extraordinary performance by the faculty member, the probationary period for tenure may be shortened if requested by the faculty member and approved by the applicant's RTP committee, department chair, dean, and Provost.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

#### **5.12 Administrative Appointments during the Tenure-Track Period**

**5.12.1** A tenure-track faculty member shall normally retain probationary status while serving in an administrative position within the University. In unusual circumstances, the faculty member's tenure clock may be stopped while serving in an administrative position, if approved by the dean and Provost.

#### **5.13 Appeals**

**5.13.1** Faculty members may appeal decisions relating to a denial of tenure or a non-renewal of appointment resulting from a midterm review according to the provisions and timelines outlined in UVU Policy 646 *Faculty Appeals for Retention, Tenure, and Promotion*.

POLICY HISTORY		
June 10, 2017	Limited Scope changes, Regular policy process, approved.	UVU Board of Trustees
June 22, 2017	Revised policy approved	UVU Board of Trustees
April 29 2021	Revised policy with limited scope revisions approved.	UVU Board of Trustees



**UTAH VALLEY UNIVERSITY**  
Policies and Procedures

1

Policy Office Draft



## POLICY 637 EXECUTIVE SUMMARY

**Policy Number and Title:** Policy 637 Faculty Tenure

<b>Date:</b>	September 29, 2023
<b>Sponsor:</b>	Wayne Vaught
<b>Steward(s):</b>	Kat Brown
<b>Policy Process:</b>	Regular
<b>Policy Action:</b>	Revision
<b>Policy Office Editor:</b>	Cara O'Sullivan, Amanda Cooke
<b>Embedded Attorney:</b>	Kathy Jordan

**Issues/Concerns (including fiscal, legal, and compliance impact):**

Policy 637 no longer aligns with UVU's tenure submission and review procedures, including how faculty submit required documentation within UVU's digital submission tool and how the portfolio is transferred between reviewers within the submission tool. Policy 637 requires documentation that may no longer be necessary for digital submission (i.e. table of contents) and requires that documentation be organized in a manner that is not conducive to digital submission. Policy 637 also assigns tasks to individuals throughout the review process that are now automated within the digital submission tool. Finally, Policy 637 does not reflect changes to RTP procedures/timelines in Policy 632 *Assignment and Advancement in Academic Rank* as well as Policy 633 *Faculty Performance Evaluation and Feedback*.

**Suggested Changes:** Policy 637 requires changes to: 1) revise submission and review procedures and timelines to better align with Policy 632 and 633; 2) omit various criteria and required documentation that are unnecessary; 3) simplify guidelines for the organization of materials in digital portfolio; 4) clarify and describe Advisory Board purpose and procedure; and 5) update procedures for faculty responses during the review process to align with Policy 632 and 633.

**Requested Approval from President's Council:** Entrance to Stage 1

**Proposed Drafting Committee:** Kat Brown, Nizhone Meza, Cathy Jordan, Wioleta Fedeczko, Laurie Toro, Jonathan Allred, Evelyn Porter, a dean, and another faculty member.

**Target Date for Stage 1 Draft to Enter Stage 2:** 12/28/2023

**Target Date for Board of Trustees Review:** 5/4/2023