Guidelines for Career Track Appointment and Promotion

OVERVIEW

The University of Arizona's Office for Research, Innovation & Impact (RII) oversees an interdisciplinary enterprise of university-wide centers & institutes, cultural institutions, core facilities, corporate engagement services, research compliance & integrity, and research development & support services including appointments, reviews, and promotions of employees within units that qualify for Career Track (CT).

For the purpose of this guidance, RII acts as the college-level administrative unit between the Vice Provost for Faculty Affairs and the departmental-level RII unit in which the CT faculty resides. This guidance is intended to outline college-level criteria and responsibilities that RII administers through the appointment and promotion process.

Each RDI unit with CT faculty is required to develop and maintain Provost-approved department-level criteria recognizing the variations in the research/scholarship, service/outreach, teaching/mentorship, and other duties of CT faculty specific to that unit. (Provost)

Policies for CT appointment and promotion are outlined in the following and referenced in this guidance:
> University Handbook for Appointed Personnel, Chapter 3 (UHAP)
> Arizona Board of Regents Policy Manual 6-201 (ABOR)
> Office of the Vice Provost for Faculty Affairs, Career-Track Faculty Resources (Provost)

DEFINITIONS

Career Track (CT) is a term used for professors, lecturers, instructors, and other faculty members in non-tenure-eligible positions that do not have adjunct or visiting in their title and are expected to continue from year to year (UHAP). Refer to the Vice Provost for Faculty Affairs "Types of Faculty" website for distinctions between this and other types of faculty, including Tenure-Track, Continuing Status Professional, and Multi-Year Academic Professionals.

Generally speaking, CT faculty have their primary distribution of effort in either Teaching or Research performance areas with lesser responsibilities in Service or Professional activities. Typical CT position titles include Professor of Practice, Research Professor, and Clinical Professor, each with specific definitions (ABOR). This guidance focuses only on the CT faculty titles currently appointed in RII units including:

- Assistant, Associate, and Full Research Professors

CRITERIA

The activity areas under which RII faculty are evaluated for appointment and/or promotion for Career Track are research/scholarship, service/outreach, and/or teaching/mentorship, as determined by the candidate's specific workload and field of study.

Appointment to Assistant Research Professor on Career Track will require evidence of promise, adequate training, depth of knowledge in a particular specialty, and expectation of successful performance in the areas of research/scholarship, service/outreach, and/or teaching/mentorship, as determined by the candidate's specific workload and field of study. (UHAP)

Appointment to Associate Research Professor on Career Track will require evidence of initiative in identifying needs, establishing priorities, and implementing programs in the candidate's area(s) of responsibility, in addition to the qualifications required of the Assistant rank. Such an individual will be known at the state, regional, and national level for the individual's particular expertise and will be expected to contribute to the departmental program in a significant fashion (UHAP).

<u>Promotion to Associate Research Professor</u> on Career Track will require evidence of an established and productive career in addition to the qualifications required of the assistant rank. Such an individual will be known at the state, regional, and national level for the individual's particular expertise, and will contribute to the departmental program in a significant fashion. Promotion to the Associate rank is possible after a minimum of three years of service in the Assistant rank. Annual reappointments may be made an indefinite number of times, subject to satisfactory performance evaluations. (UHAP)

<u>Appointment to Full Research Professor</u> on Career Track will require outstanding qualifications regarding expertise and experience in addition to the qualifications required at the associate level (UHAP). Accomplishments must reflect the candidate's primary responsibility for innovative approaches to problem solving, high-quality research and scholarship, program management and administration, service/outreach, and/or teaching/mentorship. Such an individual will be known at the state, regional, national, and, when applicable, international level for the individual's particular expertise, and will contribute to the departmental program in a significant fashion. (UHAP)

<u>Promotion to Full Research Professor</u> on Career Track will require the fulfillment of criteria for the associate level and indicates the candidate has demonstrated significant and exceptional leadership and productivity, high stands in quality and productivity for independent and collaborative research/scholarship, service/outreach, and/or teaching/mentorship, as determined by responsibilities in assigned areas. Such an individual must have achieved state, regional, national, and, when applicable, international recognition through peer organizations and will bring distinction to the department. Career-track associate professors may go up for promotion to the rank of professor at any time. Career-track professors may be reappointed annually provided they continue to meet the criteria for the rank and perform satisfactorily as determined by annual performance evaluations. (UHAP)

REVIEW PROCESS
The review process for appointment and promotion of CT faculty is defined by UHAP policy and outlined on the <u>Vice Provost for Faculty Affairs website</u>, including promotion dossier templates, yearly review schedules, and other guidance. Promotion to a title above Assistant requires a minimum of 3 years at the Assistant rank.

Specific criteria for appointment and promotion to CT should be clearly defined at the unit-level but must include the UHAP/Provost criteria of excellent performance and promise of continued excellence in research/scholarship, teaching/mentoring, service/outreach and/or other assigned duties. Reviews will recognize a wide range of performance areas (e.g. teaching, mentoring, scholarship, translational research, external funding, interdisciplinary collaboration, project management, service to the unit/university, community engagement, etc.).

The packet for submission to the Vice Provost for Faculty Affairs for all CT appointments must include:

- Offer Letter (provided by unit director)
- CV (provided by unit director)
- Department (Unit) and College (RII) committee reviews and recommendations (provided by unit director and VPR)
- Justification Memo, including research and scholarly activities that align with CT employees within the department and UCAP. (provided by unit director)

<u>Review Committees</u>
Provided there are sufficient numbers of faculty members to warrant such a committee, each RII department-level unit with CT faculty must appoint a standing committee to provide review and advisement to the unit director before recommendations are forwarded to RII. If a unit does not have sufficient faculty members to constitute such a committee, then the unit director will consult with the VPR on forming such a committee from other units.

RII maintains a standing Career Track Review Committee to review CT faculty from its units. The RDI Career Track Review Committee:

- Must be composed of at least three faculty members. The committee may include faculty from other tracks but career-track faculty should generally be a majority of the members of the committee.

- All committee members must have a rank superior to the candidate. When reviewing candidates for promotion to full, committee members and reviewers must be at the full rank.
- Committee members or administrators who have coauthored substantial publications or grants with a candidate within the last five years should generally recuse themselves to avoid raising questions about the independence of reviews. If recusing committee members is not feasible, for example because of the size of the department, the committee must address the concerns about conflicts of interest in its letter.
- Individuals who serve concurrently on departmental, college and/or University promotion committees must recuse themselves from voting on any case they provided a vote in an earlier committee.
- Review committees' assessments are to be independent of the administrators to whom they are providing review advice. Standing committees normally will meet without the administrator whom they advise. (UHAP/Provost)

Review committees should begin their deliberations by reviewing department-level (RII unit) and college (RII) promotion criteria for the performance areas (research, teaching, outreach, service, etc.). Committees should also review these standards at the end of the process and suggest revisions to their administrators. This requirement is important for career-track committees because of recent University changes in career-track promotion reviews. (Provost)

The unit director will inform candidates in writing of recommendations on renewals, promotions, or continuing status when recommendations are forwarded to the next level for review. (UHAP)

Dossiers

CT faculty are required to follow the format provided by the Vice Provost for Faculty Affairs "Promotion Dossier" website. Dossiers for the promotion of career-track faculty other than lecturers and clinical faculty will be prepared following the same guidelines as those for tenure-eligible or tenured faculty.

The CT faculty dossiers are due to their RII unit director by June 1 each year (see Review Schedule on the Faculty Affairs webpage). All sections should be included in a single document and submitted either by email or to UA Box.

Only annual reviews are conducted for CT faculty, and the packet for submission to the Vice Provost for Faculty Affairs for all CT appointments must include the unit director's summary statement of the annual reviews since the original hire or since the last promotion, in addition to the other required dossier documents.

Candidates prepare a dossier for promotion that includes only those sections that are relevant to the duties that the candidate has been assigned. The following Career Track Dossier Checklist is a modified to reflect RII as the college-level administrative unit:

X	Document	Completed By	Notes
	Section 1: Summary Data Sheet	RII Unit Director	Form, Appendix A required for split FTE Split FTE require dept committee to include a member from the cooperating department Include info on interdisciplinary collaborations, if applicable
	Section 2: Summary of Workload	RII Unit Director	Form, to be signed by candidate
	Section 3: Dept and College Guidelines	RII Unit Director /VPR	Include Appendix B format with full set of guidelines

	Section 4: CV and list of Collaborators	Candidate	Include info on interdisciplinary collaborations, if applicable Publications listed in chronological order Place * to the left of grad student pubs Page numbers/pub data required for all English translation required for foreign titles Peer-reviewed pubs should be separated from other pubs Scholarly presentations listed for only time of review (ex. 3 years) Distinguish invited form submitted presentations List only pending or funded grants for time of review Grants listed by source of funding (federal, industry, foundations) Coauthors within the past 5 years cannot be a reviewer for a candidate going up for promotion
	Section 5: Candidate Statement	Candidate	To be signed by candidate
	Section 6: Teaching Portfolio Resources	Candidate	*If applicable.* Follow Criteria for Peer Reviews of Teaching, provided by Vice Provost Summary sheet for TCEs goes forward with the dossier
	Section 7: Evaluation of Teaching	RII Unit Review Committee	*If applicable.*
	Section 8: Service and Outreach Portfolio	Candidate	*If applicable.*
	Section 9: GIDP	Candidate	*If applicable.* Written evaluation from GIDP chairperson required, Summary and evaluation required by Dept Committee
	Section 10: Letters from Outside Evaluators and Collaborators	RII Unit Director	Worksheets required, to be signed by Dept Head Outside Evaluator letters come before Collaborator letters 3-8 letters are required from external to UA evaluators – must be signed by evaluator No more than half of external evaluators can come from candidate's list of suggestions Letters from collaborators are not required Only dept head or committee chair should contact external reviewers
	Section 11: Recommendations for Promotion	RII Unit Review Committee Report; RII Unit Director Recommendation; RII Review Committee Report; VPR Recommendation	Compiled by RII Dept Head Recommendation can be joint or separate letters for split FTE Provide a copy of VPR Recommendation to RII Employee Services

	Assistant	Associate	Full
Research/Scholarship	Initial appointment is contingent upon completion of a PhD, or comparable training, depth of knowledge in a particular specialty, and evidence of promise to advance expertise and science, and to raise funding.	*In addition to requirements for Assistant Research Professors*: Requires at least 3 years as an Assistant Research Professor, strong evidence of an advanced level of collaborative and interdisciplinary research, high-quality publications in reputable academic peer-review journals, and success in receiving funding from external sources.	*In addition to requirements for Associate Research Professors*: Requires demonstrated leadership in collaborative and interdisciplinary research, extensive fundraising success, local, regional, national, and/or international recognition for knowledge in a particular specialty.
Teaching/Mentorship	Initial appointment requires demonstrated experience and success in academic instruction and student advising/mentoring, supported with letters of recommendation, student evaluations, peer reviews, and teaching curriculum.	*In addition to requirements for Assistant Research Professors*: Requires at least 3 years as an Assistant Research Professor, local, regional, and/or national recognition for educational accomplishments, and demonstrated evidence of an established and productive career in teaching and learning.	*In addition to requirements for Assistant Research Professors*: Requires a leadership role in developing curricula, improving teaching and learning methodologies, local, regional, national, and/or international recognition for educational accomplishments, and active engagement in mentoring early career faculty, graduate students, and undergraduate students.
Service/Outreach	Initial appointment requires demonstrated experience and success in service/outreach within a higher-learning setting and with non-academic audiences through providing presentations/workshops, serving on committees, and active membership in organizations within the appropriate specialty.	*In addition to requirements for Assistant Research Professors*: Requires at least 3 years as an Assistant Research Professor, local, regional, and/or national recognition for advancing the reputation of the unit, department, college, and/or university, active participation in community/public	*In addition to requirements for Assistant Research Professors*: Requires active participation in local, regional, national, and/or international organizations and providing presentations to share knowledge through creative activities, provides a leadership role for applying professional

		scholarship, and participating in activities of professional organizations within the appropriate specialty.	expertise to volunteer situations within higher-learning settings and with non-academic audiences.

CONTACT

If you have any questions, please contact Jennise Taylor, RII Faculty Affairs Lead/Coordinator, at (520) 626-9422, jenniset@.arizona.edu.