

DEPARTMENT OF ASTRONOMY/STEWART OBSERVATORY

CRITERIA FOR PROMOTION AND TENURE TO ASSOCIATE PROFESSOR

The Department/Observatory follows the "Faculty and Professional Personnel Policies (January 1991)" of the Faculty of Science. Recommendations regarding reappointment, nonretention, promotion, and/or tenure shall be based on an assessment of (a) effectiveness in teaching and advising, (b) evidence of achievement in scholarship and research, and (c) service to the University and to the broader community, including the professional scientific community.

Criteria for Tenure and Promotion to Associate Professor

A successful candidate for tenure and promotion to associate professor should have established an identity as a researcher recognized outside the University, and should have demonstrated an ability to organize and carry out a research program. Tenure is recommended with the expectation that efforts toward excellence in research will continue. Evidence of outside recognition and of ability to conduct research may include: publications in refereed journals, invitations to present lectures, colloquia, etc. at conferences and at other institutions, successful peer-reviewed proposals for research grants, and the written assessments of outside evaluators with knowledge of the candidate's field. The Observatory values innovation in instrumentation and techniques, yet these activities may sometimes be confused with service functions and may involve long-term developments that do not produce publications in the short term. Therefore, the Committee and the Head/Director should identify and document research contributions in this area.

Excellence in teaching will be judged in part through the normal course evaluations by students and through peer evaluations. Other aspects of teaching to be considered may include advising of undergraduate majors, advising and supervising graduate students, the development of new courses or new materials and techniques for instruction, and the supervision of teaching assistants.

Service to the Observatory and University is expected. Service to the broader community may include such things as national and international professional committee, work as a referee or editor, organizing conferences, etc.

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Criteria for Promotion to Professor

The criteria for judging excellence in research, teaching, and service are basically as above, but with the expectation of a higher level of achievement and greater responsibilities, particularly in service to the Department and University.

In research, promotion to professor normally recognizes a substantial international reputation. Evidence of this may include influential publications, outside letters of recommendation, a history of peer-reviewed funding, invitations to speak at conferences and to serve on editorial boards or review panels, the success of "academic descendants," and the tangible results of innovations in instrumentation and techniques. Promotion to Professor also requires significant contributions in teaching and advising. The evidence may include normal course evaluations by students, peer evaluation of teaching, the record of students supervised, information on new courses developed, and instances of innovative methods and materials. When the primary justification for promotion is excellence in teaching, the specific University guidelines will apply.

Professional service at the national or international levels is another evidence of outside recognition. Willing service to the Department/Observatory and to the University is expected.

PROMOTION AND TENURE PROCEDURES

DEPARTMENT OF ASTRONOMY/STEWART OBSERVATORY

P & T COMMITTEE

Approved at Faculty Meeting 30 April 2004.

I. STANDING COMMITTEE ON FACULTY STATUS

A. Membership and Term of Service

In accordance with Chapter 3 of the *University Handbook for Appointed Personnel*, there shall be a Promotion and Tenure (P & T) Committee to advise the Head/Director before he/she makes recommendations to higher academic authorities concerning all matters of faculty reappointment, non-retention, promotion, and tenure. The Committee shall be composed of at least three, and no more than five, tenured members of the faculty of the Department of Astronomy/Stewart Observatory. At least three members shall be chosen from among those faculty members who hold the rank of full professor. The normal term of service shall commence at the beginning of the academic year and extend for three years. A member of the Committee shall not participate in deliberations that involve a substantial conflict of interest. A member of the Committee obviously should not participate in any deliberations affecting his/her own status. It is also considered that a Committee member holding the rank of associate professor should not vote in recommendations affecting another associate professor. The fact that a Committee member may have worked closely with a candidate at whatever rank is not seen as representing of itself a conflict of interest.

B. Selection of Committee Members

The Head/Director shall present to the faculty the names of two eligible faculty members for each vacancy to be filled. ("Eligible" here means tenured faculty holding the rank of full or associate professor, limited only by the requirement that at least three members of the Committee hold the rank of full professor.) The final selection shall then be by vote of the faculty, tenured and untenured. The voting shall be by confidential ballot if requested by any faculty member. A retiring member of the Committee shall not be excluded from immediate renomination and reelection.

C. Designation of the Chair

The Head/Director shall designate the member of the Committee who is to serve as chair. The normal term of service as chair shall be one year. A retiring chair shall not be excluded from redesignation as chair if his/her term of service on the Committee does not expire during the year, or if it has been extended through renomination and reelection.

II. Procedures

A. Nomination of Candidates for Personnel Action

The precepts of Chapter 3 of the *University Handbook for Appointed Personnel*, which specifies the times when recommendations are to be made regarding appointment, tenure and promotion for faculty members of the several ranks, will in all cases be observed. The Head/ Director shall inform the chair of the Committee at the beginning of each academic year of those faculty members whose status must be reviewed. Additional candidates may be nominated by the Head/Director or by three qualified faculty members. (“Qualified” in this context means tenured faculty holding the rank of associate professor or professor when questions of tenure are involved; or all faculty with rank higher than the candidate’s when promotion, but not tenure, is involved.) When all potential candidates have been informed and had an opportunity to respond, all faculty members shall be notified by the Head/Director or chair of the Committee of the final list of candidates under review and invited to communicate any comments to the Committee.

B. Annual Review Process for Tenure-Eligible Faculty

The progress of junior faculty members within the Department of Astronomy will be evaluated each year by the standing committee on Promotion and Tenure. This evaluation will supplement the annual departmental performance review for all faculty conducted by the department head and a rotating committee. The tenure evaluation will be based upon the same materials requested for the annual performance evaluation.

The standing committee will make recommendations to the department head as to the progress of each candidate. The candidate(s) will be notified in writing, and any concerns will be addressed by the department head with the candidate(s) directly.

C. Documentation

All faculty members shall be asked by the Head/Director at the end of the spring semester each year to update their bibliographies and to supply other pertinent information (e.g. administrative service, contributions to instrumentation, special contributions to instructional programs, thesis direction, thesis committees, and other professional activities). This information is to be submitted no later than the first day of classes of the fall semester. Each person who is potentially a candidate for personnel action shall be notified of his/her status with respect to the Committee’s list and given an opportunity to respond. Candidates for personnel action shall be asked to designate at least two referees outside of the Department/Observatory who are well acquainted with their work. In general, at least four outside letters of evaluation shall be solicited, at least two from the list of referees supplied by the candidate in question and at least two from referees selected by the Committee.

D. Consultants

The Committee is free to coopt consultants, who need not necessarily be members of the faculty of the Department/Observatory, to assist in evaluating those technical aspects of the work of any

candidate on which members of the Committee may not feel themselves sufficiently expert. The Head/Director shall be informed of the identity of any such consultants, and written summaries of substantial input by consultants should be transmitted as attachments to the report of the Committee, along with letters from referees. Consultants, however, do not participate in any voting on recommendations of the Committee, nor do they endorse Committee reports. Consultants must agree to respect the confidentiality of the review process and materials in the same manner as is expected of Committee members.

E. Criteria

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Professional service at the national or international levels is another evidence of outside recognition. Willing service to the Department/Observatory and to the University is expected.

F. Recommendations of the Committee

The chair of the Committee or his/her deputy shall forward to the Head/Director by about October 1 a recommendation concerning each candidate, along with all supporting documentation collected by the Committee. This may consist of a single report endorsed by, or on behalf of, the full Committee, or individual reports by those Committee members who may prefer to write their own. The Head/Director shall forward these reports, together with copies of all supporting documentation and his/her own summary and recommendations, to the Dean by about October 15.

G. Informing the Candidates and Faculty

At the time any recommendation is transmitted hereunder, the faculty candidates shall be advised in writing of the nature of the recommendations. The Head/Director also shall furnish a summary of his/her recommendations regarding faculty status to all faculty members by letter by about December 15.

GUIDELINES FOR THE STANDING COMMITTEE ON PROMOTION AND CONTINUING STATUS

Approved at Faculty Meeting 7 May 1993

Introduction: Academic Professionals in Steward Observatory

The University of Arizona employs both traditional faculty (academic faculty) and research scientists (academic professionals). Because the exact nature of academic professional positions varies from department to department, this introduction summarizes the situation within Steward Observatory to acquaint members of the University Standing Committees on Promotion with the framework for current performance review procedures.

Steward Observatory is the research arm of the Department of Astronomy, although the distinctions between the two organizations are in many ways quite blurred. Most members of the academic faculty of the Department also hold partial appointments as research scientists in the Observatory. Academic professionals in the Observatory contribute to the teaching activities of the Department from time to time, not only as advisors for research projects of graduate students, but also in the classroom for undergraduate (and occasionally for graduate) courses.

Academic professionals in Steward Observatory hold titles prefixed by "Assistant," "Associate," or "Senior." These terms are intended to indicate a sequence of ranks parallel to the faculty ranks of Assistant Professor, Associate Professor, and Professor, respectively, with the expectation that comparable standards of performance and achievement apply to promotions within the parallel ladders at the corresponding levels. Promotions within the research ranks are based in part upon peer reviews in exactly the same manner as for academic faculty. The detailed weighting of evaluations among the categories of research, teaching, and service may differ significantly, however. For example, teaching is not normally a designated duty of academic professionals, even though many of them voluntarily devote time and effort to teaching activities. In some cases, a major and valuable research activity of an academic professional may be a project of long duration and large scale, the products of which may be essential research instruments (such as telescopes and spectrometers), as well as scholarly publications.

Academic professionals can be promoted to appointments with *continuing status* which are analogous but not identical to *tenure* for a member of the academic faculty. Comparable standards of performance and achievement apply to the granting of both continuing status and tenure. In practice, within Steward Observatory the path to continuing status is not the same as that to tenure. As a rule, untenured faculty are appointed to tenure-eligible positions, from which they are either promoted or terminated according to a specified schedule. In contrast, many academic professionals – particularly those who are supported primarily by external funds – do not occupy "continuing-eligible" positions. Such academic professionals can be promoted to the highest rank independent of considerations of continuing status. They can be promoted to continuing status only when the conditions for being "continuing-eligible" have been satisfied:

specifically, a minimum level of 51% state-funded salary is required. The number of appointments that are continuing-eligible or continuing is limited by the total number of approved state-funded fulltime-equivalent positions. There is some flexibility in the number of appointments in that continuing-eligible or continuing appointments require less than 100% state funding.

Purpose of the Guidelines

These guidelines are intended to:

1. Provide a coherent set of ranks that adequately identifies varying levels of responsibility and thereby offers opportunity for advancement for research personnel who are on long-term state- or grant-supported employment but who do not hold teaching appointments.
2. Recognize the responsibilities of long-term research staff and make it possible for them to support their research through their own grants. Such individuals should be subject to standards of promotion review comparable to those applied to the teaching faculty.

Allow a mechanism by which advanced postdoctoral fellows can be given a position within the University which permits them to seek their own external research support.

Scheme of Research Ranks

There are two parallel ladders of ranks as set out in the table below. One ladder is appropriate for those who have substantial responsibilities in independent research projects. The other is intended to accommodate those who have professional-level responsibilities within existing programs which are essential to the research function of the Observatory. Each ladder is further subdivided into "Astronomer" and "Scientist" categories. These subcategories are intended to distinguish between individuals whose work is specifically astronomical in nature and those working in other related disciplines (e.g., detector physics; optics; instrument design and engineering; etc.).

Chapter 4 of the *University Handbook for Appointed Personnel* applies to positions in both columns. Individuals may apply for positions in either ladder regardless of their current status.

Categories of Research Ranks

Independent Research Positions

Astronomer	Senior Research Scientist
Associate Astronomer	Associate Research Scientist
Assistant Astronomer	Assistant Research Scientist

Research Support Positions

Staff Astronomer	Senior Staff Scientist
Associate Staff Astronomer	Associate Staff Scientist
Assistant Staff Astronomer	Assistant Staff Scientist

Senior Research Associate (advanced postdoctoral fellow)

Description of Ranks

Astronomer; Senior Research Scientist: Highly distinguished record of research and service to the scientific community, comparable to that of Professor. Is normally expected to initiate grant proposals as principal investigator. May vote at Steward Observatory faculty meetings.

Associate Astronomer; Associate Research Scientist: Distinguished record of research and service to the scientific community, comparable to that of Associate Professor. Is normally expected to initiate grant proposals as principal investigator. May vote at Steward Observatory faculty meetings.

Assistant Astronomer; Assistant Research Scientist: Clearly demonstrated potential for distinguished research and service to the scientific community, comparable to that of Assistant Professor. Is normally expected to initiate grant proposals as principal investigator. May vote at Steward Observatory faculty meetings.

Staff Astronomer; Senior Staff Scientist: Has broad responsibility for astronomical support or technical developments of highest importance to Steward Observatory; normally would lead a large group in the technical area. May, but is not required to, initiate grant proposals as principal investigator. May vote at Steward Observatory faculty meetings.

Associate Staff Astronomer; Associate Staff Scientist: Responsible for some area of important astronomical support or technical development; in many cases, would supervise others working in the technical area. May vote at Steward Observatory faculty meetings.

Assistant Staff Astronomer; Assistant Staff Scientist: Participates in astronomical or technical support, with duties of a uniquely valuable nature to Steward Observatory and therefore not adequately described by University-wide staff job classifications. Would not normally be a supervisory position. May vote at Steward Observatory faculty meetings.

Senior Research Associate: This category is intended to recognize advanced postdoctoral fellows. In all cases, will be considered to be a temporary rank. May initiate grant proposals as principal investigator with special approval granted through a faculty review. May attend, but does not vote, at Steward Observatory faculty meetings.

General Principles for Reviews

Personnel holding split Chapter 3 (teaching faculty) and Chapter 4 (professional staff) appointments are to be reviewed according to Chapter 3 procedures and are not subject to the review procedures discussed here.

Functions of the Committee

The Committee shall advise the Director on matters concerning the status of Chapter 4 appointees. All recommendations of the Review Committee are advisory to the Director and remain internal to Steward Observatory. Specific responsibilities include the following:

1. Establish general guidelines for appointments to the research ranks.
2. Review qualifications of candidates for research appointments above the level of Senior Research Associate to assure appropriateness of the supervisor's recommendations regarding rank.
3. Review the status of Senior Research Associates, after two years if the supervisor suggests it, but in any case after three years. The alternative recommendations after such a review are:
 - a. Promotion to Assistant Astronomer or Assistant Research Scientist;
 - b. Promotion to Assistant Staff Astronomer or Assistant Staff Scientist;
 - c. Reappointment as Senior Research Associate for a specified term not exceeding one year with the expectation that it will be terminal.
4. Review the status of those holding appointments in the "Assistant" and "Associate" level tiers of the "Independent Research" ladder at intervals not to exceed five years to recommend:
 - a. Promotion, together with a recommendation regarding continuing status, if appropriate;
 - b. Reappointment at current rank, together with a recommendation regarding continuing status, if appropriate¹;
 - c. Reappointment at current rank, or some other, for a specified term not exceeding one year, with the expectation that it will be terminal.
5. Review all promotions of research support appointees, either suggested by the supervisor or as requested by petition of the candidate, if supported by at least three members of the Astronomy/Steward Observatory voting faculty.
6. Review cases of unsatisfactory performance and deal with grievances.

¹ Only personnel with at least 51% salary support from State funds are eligible for continuing status. Individuals supported by other than State funds can be reappointed indefinitely.

Membership of the Review Committee

The Review Committee shall be a standing committee composed of five members selected from among those holding at least part-time Chapter 4 appointments and eligible to vote at faculty meetings. Members of the committee shall serve staggered terms of three years. Any three members shall constitute a quorum for review of a particular case. A member of the committee shall not participate in deliberations that involve a substantial conflict of interest. A member of the committee obviously should not participate in any deliberations affecting his or her own status. In general, a member of the committee should not participate in recommendations affecting a person who holds a rank more senior than his or her own. The fact that a committee member may have worked closely with a candidate of whatever rank is not seen as a conflict of interest.

An additional non-voting member may be co-opted by the Review Committee to serve in an informational capacity in carrying out any specific review. In the case of a Senior Research Associate, this member should be the candidate's supervisor, unless he or she is already a member of the committee.

Members of the Review Committee shall be elected by those eligible to vote at faculty meetings from among candidates nominated by the Director. Some spread in ranks among the members of the committee, and a balance of research interests, is desirable.

The member of the Review Committee who is to serve as the Chair shall be designated annually by the Director.

Documentation

In arriving at a recommendation, the committee should consider an appropriate combination of the following documentation: vita and bibliography, statement of research interests and achievements as provided by the candidate, and evaluations by other qualified researchers, including some from outside referees in cases of consideration for advancement to the higher ranks. Also appropriate for the more senior positions would be records of grants awarded, departmental and University service, and activities at the national and international level, advisory committees, offices in professional organizations, editorial work for professional journals, etc.

Criteria for Evaluation by the Committee

Criteria for promotion should be determined by the Review Committee by consideration of an appropriate selection of successful activities appropriate to rank as follows.

1. To Assistant Astronomer or Assistant Research Scientist from Senior Research Associate:
 - a. Quality of past and current research.

- b. Service to the astronomical community.
 - c. Ability to conduct unsupervised or lightly supervised research and/or to supervise the work of scientific or technical support staff.
 - d. Likelihood of obtaining future grant support.
2. To Associate Astronomer from Associate Research Scientist:
- a. Quality and interest of results of research completed or in process, particularly if recognized at the national or international level.
 - b. Service to the astronomical community, including interactions with graduate students (and participation in more formal teaching functions, if applicable), service on advisory committees, activities in professional organizations, etc.
 - c. Ability to organize and conduct independent research programs, including supervision of a research team, if appropriate.
 - d. Effectiveness in formulating grant proposals and in attracting outside financial support.
3. To Astronomer/Senior Research Scientist:
- a. All the criteria under item 2 above, and
 - b. Clear evidence of a distinguished level of scientific achievement as recognized by the national and international scientific community.
4. To Associate Staff Astronomer/Associate Staff Scientist or Staff Astronomer/Senior Staff Scientist:
- a. Level and extent of technical skills.
 - b. Ability to supervise technical support groups.
 - c. Effectiveness in furthering ongoing or proposed Observatory projects.

Final Caveat

All of the guidelines set forth here are subject to the rules and regulations of the *University Handbook for Appointed Personnel*.

Biosphere 2

P & T Guidelines

**University of Arizona Biosphere 2 / B2 Earthscience
Promotion and Continuing Status Guidelines Summary**

Associate Research Scientist / Professor

Research Scientist / Professor

**RESEARCH / SCHOLARLY
CREATIVE ACTIVITY:**

Shows the ability to organize and conduct independent research programs, including the supervision of a research team, if appropriate

Demonstrates a high level of original and independent research as documented in the publication record and recognition at the national level

Establishes the promise of sustained scholarly activity

Shows effectiveness in attracting outside financial support through grants and contracts

Involves students in research activities

Demonstrates a record as a productive scientist through sustained continuing publication activity

Establishes a clear and coherent line of inquiry

Provides evidence of recognition at national and international levels

Exercises leadership in seeking outside funding for research through outside grants and contracts

Involves students in collaborative research and scholarly activities

SERVICE / TEACHING:

Contributes to the activities of departmental committees and activities

Contributes to the educational mission of the department by teaching, participation in seminars, supervision of students, and/or engagement in K-12 and outreach activities

Contributes to the profession through service to professional organizations, advisory committees and/or professional journals

Exercises leadership in department through service such as committee chairperson and/or outstanding and continued service to department committees

Contributes to the educational mission of the department by teaching, participation in seminars, supervision of students, and/or engagement in K-12 and outreach activities

Contributes to college and university committees

Contributes to the profession through outstanding and continued service to professional organizations and professional journals, providing evidence of national and international impact

Computer Science P & T Guidelines

Department of Computer Science Criteria for Promotion and Tenure

Category	Senior Lecturer	Associate Professor with tenure	Professor
Teaching	Course evaluations and peer evaluation of classroom teaching and of the teaching portfolio demonstrate that the faculty member is accomplished as a teacher: effective, stimulating, and highly evaluated by students. The faculty member participates effectively in advising, plays a leadership role in curriculum development, and contributes to more effective departmental teaching approaches. The faculty member has performed additional teaching activities, perhaps including activities in the scholarship of teaching.	Course evaluations and peer evaluation of classroom teaching and of the teaching portfolio demonstrate that courses are well designed with good assignments, projects, and examinations, and that they are effectively presented to students. The faculty member is, or has shown clear promise of becoming, an accomplished teacher. The faculty member participates effectively in student advising and has performed additional teaching activities, perhaps including activities in the scholarship of teaching.	Course evaluations and peer evaluation of classroom teaching and of the teaching portfolio demonstrate that the faculty member is accomplished as a teacher: effective, stimulating, and highly evaluated by students. The faculty member participates effectively in advising and has played a leadership role in developing departmental curricula, providing evaluation of the teaching effectiveness of other faculty, and contributing to more effective departmental teaching approaches. The faculty member has performed additional teaching activities, perhaps including activities in the scholarship of teaching.
Research and Creative Activity	Not applicable.	The faculty member has established a coherent and productive program of research as evidenced by a significant publication record primarily in quality refereed journals and conferences and optionally by the development and distribution of innovative software. The faculty member has established an emerging international reputation and has shown clear promise of sustained research contribution. The faculty member involves students in collaborative research activities.	The faculty member has demonstrated a sustained record of high-quality research over a period of years that establishes a clear international reputation as one of the top researchers in their area of study. The faculty member mentors Ph.D. students as dissertation advisor and directs honors work and independent studies.
Service and Outreach	The faculty member has demonstrated leadership by contributing at a significant level to assigned committees, often as chairperson. The faculty member has made additional contributions to the College, University, community or profession.	The faculty member has contributed to decision making and academic and institutional planning at the departmental level, by effectively carrying out committee assignments, and has contributed to the profession, such as through service on conference committees and journal and grant reviews.	The faculty member has demonstrated leadership by contributing at a significant level to departmental committees, often as chairperson, as well as to college and university committees, in mentoring of junior faculty, and in establishing departmental and college goals, objectives, and performance standards. The faculty member has also contributed significantly to the profession, such as by serving on or chairing professional review panels, appointive national or international advisory panels, and editorial boards of journals.

Ecology and
Evolutionary Biology
P & T Guidelines

October 21, 1995

**DEPARTMENT OF ECOLOGY AND EVOLUTIONARY BIOLOGY
CRITERIA FOR PROMOTION AND TENURE BY RANK**

Individual faculty members are expected to vary in the relative strength of their contributions to the three areas of Teaching & Research and Service. The criteria outlined below are considered to be minimum standards for each category. Individuals are expected to demonstrate exceptional strength and a distinguished record in at least one of the first two categories.

	Associate Professor	Professor
Teaching	Contributes to meeting the department's undergraduate and graduate teaching responsibilities. Receives favorable student and peer teaching evaluations. Participates actively in student advising and mentoring, including service as a member or chair of graduate student thesis committees	Exercises leadership in department's undergraduate and graduate teaching responsibilities and academic program development. Evidence of excellence includes one or more of the following: favorable student and peer teaching evaluations, teaching awards, attainments, awards and career trajectories of former students.
Research, Scholarly/Creative Activity	Engages in original research/scholarly activity as evidenced by publications in high quality refereed journals. Has established a record of sustained scholarly activity in one or more areas included in the department's mission statement. Provides evidence of peer recognition at regional and national levels. Contributes to grant and/or contract activities	Demonstrates record as a productive scholar through sustained publication of a clear and coherent line of inquiry relevant to the mission of the department. Provides evidence of peer recognition at national and international levels. Exercises leadership in seeking outside funding for research through grants and/or contracts. Exercises students in collaborative research and scholarly activities and/or inspires them to initiate their own original research programs.
Service/Outreach	Contributes to departmental and interdisciplinary committees. Contributes to profession through service to professional organizations and/or professional journals. Contributes to local professional and community outreach activities as appropriate to area of expertise.	Exercises leadership through service as Continuing member or chair of departmental committees. Contributes to interdisciplinary, college and/or university committees. Contributes to profession through distinguished service to professional organizations and/or professional journals. Contributes to local professional and community outreach activities as appropriate to area of expertise.

Geosciences P & T Guidelines

**Section III: Departmental Guidelines
for Second and Fourth Year Review of Assistant Professor
(Approved by Faculty 1 November 1986; Revised September 1987)**

Second-Year Review	Fourth-Year Review
<p>This review comes so early in the career of a new assistant professor, when he or she may have completed as few as two full semesters on our faculty, that we can only look for general trends and for whether she/he seems to be settling into her/his academic role successfully. Some of the encouraging signs that we might hope to see:</p> <ul style="list-style-type: none"> A. Publication of thesis results or any postdoctoral work — establishes that he or she can bring projects to fruition in the literature. B. Initiation of research going beyond thesis or postdoctoral work — demonstrates that she or he can continue to generate interesting problems outside the close advising relationship that may have pertained during graduate work. C. Applications for research grants — shows initiative in attempting to obtain outside funding for academic research. D. Advising or serving on committees of graduate students — documents initiation of or involvement in ongoing graduate education programs. E. Taking over duties in established courses in his/her area — establishes willingness to contribute to undergraduate/graduate teaching mission of the Department. F. Initiation of new courses or seminars, either advanced or general, in her/his area of specialization — demonstrates capability for innovation and curriculum improvement. G. Decent teaching evaluations — at this point the teaching style of a new assistant professor may not yet be honed, but signs of enthusiasm or even talent for the task would be encouraging. H. Service on Department committees — shows willingness to help with necessary tasks. 	<p>By the fourth year, we should be able to gain a fairly good idea of how well an assistant professor is working out in terms of our expectations and in terms of his/her own, so this review amounts to a preview of tenure prospects, and an opportunity to advise her/him how best to prepare for the tenure decision. At this point achievement within the academic role should be demonstrated as well as potential. Positive things to look for:</p> <ul style="list-style-type: none"> A. Establishment of his/her own research directions — by this time he or she should have clearly established a research identity, whether broad or narrow, and should be able to convey to us the interest and excitement in the research problems chosen. B. Establishment of her/his own program to make progress in the chosen research directions — <ul style="list-style-type: none"> 1. Development of the appropriate skills and techniques to carry out the research directions; 2. Seeking and finding the level of support necessary to execute the research appropriate to the field; 3. Development of an advising relationship with graduate students to provide research assistance in his/her program; 4. Beginning or development of the appropriate base of high-level courses to train those graduate students in the necessary ideas and skills to work in the chosen research direction. C. Ability to get research results into the published record — by this time, work beyond the doctorate/postdoctoral phase should be starting to appear in the national and international peer-reviewed literature. D. Indications that her/his activities are beginning to attract national attention — invitations to give lectures, invited and volunteered papers at meetings, evidence that his/her papers are read and having an effect, presentations at research conferences, requests to review proposals and manuscripts are some of the possible encouraging signs. E. Full integration into the educational mission of the Department — <ul style="list-style-type: none"> 1. Continuation of any service role needed in teaching general classes plus successful innovation in new courses at either general or advanced level. 2. Teaching evaluations that demonstrate his/her commitment to quality in teaching and ability to communicate knowledge to students. 3. Advising and serving on the committees of graduate students. 4. Willingness to help with the advising of undergraduate students. F. Service at Department, University, community, professional, or national level — committee work, editorial boards, community relations, chairing sessions at meetings are some of the signs of a developing service role.

Section III: Departmental Promotion and Tenure Guidelines
(Approved by Faculty 1 November 1986; Revised September 1987)

	Associate Professor	Professor
Criteria for Promotion	Demonstration of potential for and achievement of excellence in research, teaching, and service is required for a recommendation of promotion to the rank of Associate Professor with indefinite tenure. Teaching and research are emphasized, and substantial evidence of local and national stature in the appropriate fields will be necessary.	Demonstrated excellence in research, teaching, and service and the reasonable expectation that this excellence will continue is required for a recommendation of promotion to the rank of Professor. For faculty members, teaching and research are emphasized, and substantial evidence of local, national, and international stature in the appropriate fields will be necessary.
Research Excellence	To be considered for tenure and promotion to Associate Professor, a candidate should have clearly established a research identity known outside the University, and should have demonstrated an ability to organize her/his own program to progress in the chosen research directions. At this stage an emerging national reputation is desirable. Some of the things that should have been accomplished: (1) Development of the appropriate skills and techniques to carry out the desired research. (2) Seeking and finding the level of support necessary to execute the research appropriate to the field. (3) Demonstration of ability to get research results into the published record. By this time, work well beyond the doctorate/postdoctoral phase should be appearing in the national and international peer-reviewed literature. (4) Indication that her/his activities are beginning to attract national attention and evidence that her/his work is having an impact on the appropriate fields. The written opinions of the outside evaluators are crucial here, but invitations to give lectures, invited and volunteered papers at meetings, presentations at research conferences, requests to review proposals and manuscripts are other possible signs.	In order to merit promotion to Professor, a substantial international reputation should have been achieved by the candidate in his/her field of specialization. To document this, we rely most heavily on outside letters of evaluation that specifically document the national and international contribution that the candidate has made. Additional information may be drawn from the list of publications, indications that those publications are read and cited, history of funded research, and prestigious invitations to speak or service in a professional capacity, such as on editorial boards or review panels.
Teaching Excellence	The successful candidate for tenure and promotion should be fully integrated into the educational mission of the Department, and should be demonstrating excellence in the teaching role. This may be shown by, among other things: (1) Teaching of established general classes as needed by the Department plus successful innovation of new courses at either general or advanced level. Development of the appropriate base of high-level courses to train graduate students in the necessary ideas and skills to work in the candidate's fields of expertise. (2) Teaching evaluations that demonstrate his/her commitment to and achievement of quality in teaching and ability to communicate knowledge to students. (3) Development of an advising relationship with graduate students concentrating in the candidate's fields of interest. Serving on the committees of other graduate students. (4) Willingness to help with the advising of undergraduate students.	Excellence in teaching is more difficult to document than research reputation, but evidence should be presented to show that a candidate for promotion has established a viable and excellent educational program. Lists of courses established and taught, and student and peer evaluations of those courses provide data for this judgment. For a candidate who wishes primary emphasis on teaching as justification for promotion, evidence should be presented that he/she has advised and taught students who themselves have attained substantial distinction contributed to by the candidate's influence.
Service Excellence	Service at Department, University, community, professional, or national level. Committee work, editorial boards, community relations, chairing sessions at meetings are some of the indicators of a satisfactory service role.	Though service is not a primary component of faculty promotion decisions, willing and effective service at the local, national, and possibly international levels is desirable. To some extent, invitations to so serve reflect the stature the candidate should have achieved for promotion. Service on committees, on review panels, as a reviewer for manuscripts and proposals, and in editorships are some of the possible categories.

Hydrology and Water Resources P & T Guidelines

DEPARTMENT OF HYDROLOGY & WATER RESOURCES

PROMOTION AND TENURE GUIDELINES

Promotion to Associate Professor usually entails tenure unless the person is being recruited from outside the University. Such a promotion means that the department has faith in the faculty member's potential for rapid growth leading toward eligibility for full professorship. In other words, the person must show exceptional promise as a teacher, researcher, and colleague. For this, the faculty member must have proven himself/herself to be a highly effective and well prepared teacher with an excellent grasp of relevant subjects and ability to communicate such knowledge. The person must have established a viable research program and must have demonstrated excellence in this area through intensive publication in high quality media. His/her research activity must have earned the faculty member considerable recognition at least on the national level. Potential as a competent professional, and the ability to translate research results into professional practice, are also important. In addition, the faculty member must have demonstrated a high level of personal integrity and the ability to work in harmony with his colleagues in the department.

Promotion to Full Professor means that the associate professor is now a mature and superior teacher, scientist, and professional. In addition to having established firm credentials as an effective teacher, the person must have earned widespread national (and preferably also international) reputation for his/her contributions to science and the profession. The faculty member must have a viable high quality research program that has been active at a high level of intensity for several years. The results of this program must have been communicated to the scientific community by numerous publications in high quality media. The faculty member should also have established working relations with professionals and professional organizations outside the department and the university, and to have been active in the public service area. Only faculty members with the highest credentials, and who have earned the respect of most of their colleagues in the department, shall be recommended for promotion to full professor.

Faculty members recruited from outside the university at the associate professor and professor levels without tenure will be reviewed annually for tenure status. The criteria for tenure are consistent with those for promotion.

Approved at 10.26.83 Faculty Meeting (See 10.26.83 Faculty Meeting Minutes)

Mathematics P & T Guidelines

An Overview of Performance Criteria for Promotion and Tenure in Mathematics

This document elaborates on the one-page summary of the Department's Promotion and Tenure guidelines and provides explanations of some of our policies.

A. Judging Stature and Excellence in Creative Activity

It is absolutely essential that the Committee be able to ascertain that the candidate's work is of real significance, of high quality, and sustainable. This understanding is built primarily upon consideration of letters from referees and the publication record. Grants and awards, dissertation supervision, and other possible indications of professional distinction, play a supporting, but not decisive, role.

A.1) Letters from Referees:

This is the crucial measure. The letters must indicate that the candidate's accomplishments are well known and highly regarded by acknowledged experts. The referees must confirm that the candidate has done significant independent and original research. Their evaluation has sometimes been based, in part, on as yet unpublished work.

A.2) The Publication Record:

If the referees testify to the value of the candidate's contributions, quantitative measures (number of papers, number of pages, etc.) are irrelevant. Long and definitive papers are appropriate in some areas. A short note presenting a new, illuminating, proof of a known result can have significant influence. A sequence of papers may explore an important new idea. There might be laboratory experiments in applied mathematics, and large-scale studies in mathematics education. It should be noted that there is no tradition of Book Chapters in pure mathematics.

With the advent of electronic preprint archives, many papers are posted on the web before being submitted or accepted for publication. If a referee has favorable comments about such a paper, it will be counted as part of the publication record. A positive evaluation by colleagues alone would be useful background information, but cannot be included in the committee's documentation. Papers that have been accepted for publication are counted as published. The delay between

submission and publication can be as long as two years, especially for the top journals, and research results are, as a rule, widely disseminated before they appear in print.

In mathematics, the order of authors' names on an article tends to be alphabetical, with no regard to seniority. To determine the candidate's role in a multi-authored paper, we look to the referee letters, where the matter is occasionally addressed; we may ask for letters from collaborators; we may have some knowledge of our own. In interdisciplinary applied areas, ordering by seniority and degree of contribution is more common.

A.3) Grants and Awards:

Research grants and other financial awards are regarded as absolutely reliable indicators of the quality and potential of the candidate's work. Their absence is weighed against the referees' evaluations. It is not necessarily a negative, for the following reasons. First, the bulk of outside support in mathematics comes from a single source, the NSF. Second, NSF funding for mathematical research has been and continues to be very tight (the median award in areas of pure mathematics is about \$50,000). Third, in most areas of mathematics, a lack of outside support is not a real hindrance to continued productivity in research, inasmuch as lab equipment and lab assistants are not needed. It is unusual for NSF grants to provide money for graduate students; they are supported for most or all of their career by teaching assistantships.

It is nonetheless expected that untenured faculty members attempt to obtain research grants.

A.4) Postdoctoral Positions:

Postdoctoral fellowships usually predate appointment to a faculty position and are not directly relevant to a promotion and tenure case. They do, however, give a candidate a good start towards national exposure and of course some mathematical maturity. In this respect, postdoctoral experience becomes part of the overall evaluation.

There are no uniform criteria. In mathematics, postdoctoral positions are designed to allow a new Ph.D. to initiate a research program. There are highly competitive appointments awarded by departments (MIT, Berkeley), and some, such as the NSF Postdoctoral Fellowship,

that are awarded by a panel. Typically, these postdoctoral fellows are required to teach. The situation can be different for candidates with an applied background; their position might be funded and mentored by a senior scientist. We have had assistant professors go on leave to a prestigious postdoctoral position, which was seen as a significant award.

A.5) Other Measures:

Invitations to speak at conferences, contributions to conference proceedings, or external seminar talks are viewed positively, but their absence is not a negative, again provided the referee letters testify to the candidates accomplishments. The availability of external funding for conferences varies with the area of mathematics, and therefore, so does the opportunity to participate in conferences.

B. Judging Excellence in Teaching

The criteria used by the Committee are essentially those spelled out in Section II of the Faculty of Science Statement on Guidelines. There are some additional points to be made about teaching at the graduate level.

Candidates for promotion with tenure should have taught lower and upper division courses, and, if possible, graduate courses. In some areas, the graduate courses are offered every other year, and there may be more specialists than teaching opportunities. There are other forms of contribution: organization of, and speaking in, seminars oriented towards graduate students; presentations in case studies courses; service on oral exam and dissertation committees. The latter activity is not as formal and time consuming as in other departments, and lack of such service is not counted against the candidate. We do not expect untenured faculty members to supervise dissertations.

Faculty members being considered for the rank of Full Professor should have played a significant role in developing the quality of our graduate program, for example through the design and teaching of the graduate curriculum as well as the more specialized year courses that lead students into active research.

C. Judging Excellence in Academic and Cultural Service

The Mathematics Department does a great deal of teaching. For this reason it is quite natural that our academic service contributions tend to be internal to the department and university, and are often teaching oriented.

Because of the centrality of Mathematics to primary and secondary education, a large component our cultural service is comprised of programs with local school systems, designed to enrich their students and faculty. Several such programs specifically target local minority populations. The quality of such programs is often reflected by their recognition through grants and awards.

We do not expect extensive service contributions from untenured faculty, although we do look for journal refereeing activity. We prefer that untenured faculty concentrate principally upon teaching and research. However, for promotion to Full Professor we look for an extensive and productive service record, both external and internal to the University.

Molecular and Cellular Biology P & T Guidelines

**Molecular and Cellular Biology
Promotion and Tenure Criteria**

	Associate Professor	Professor
Teaching	<p>Teaching undergraduate and graduate students in the MCB program including classroom teaching, teaching in the laboratory setting and student advising, are all expected. The quality of teaching must be high and the quantity appropriate. Student evaluations, student performance, and peer reviews from senior colleagues will be taken into consideration to assess teaching accomplishments. The focus of teaching efforts may include the factual material of MCB, research methodologies, or training in analytical approaches used in the discipline. Many different kinds of teaching are recognized and encouraged in the department: teaching undergraduate and graduate classes; developing new courses, curricula, and teaching methods; teaching undergraduates in laboratories, as independent study students or through the Undergraduate Biology Research Program; teaching graduate students in the laboratory and supporting their development as independent scientists; participation on graduate student committees; advising and mentoring undergraduate and graduate students; teaching, partnering, and mentoring K-12 teachers. If a major role in K-12 education is undertaken, this may be evaluated following the College of Science guidelines with the participation of the Science And Mathematics Education Center.</p>	<p>Demonstration of leadership in teaching within the MCB program during the Associate Professor years. Recognition for excellence in teaching, the development of new courses, and/or revision of course syllabi, participation in teaching core, honors, or specialty courses for undergraduate and graduate students, and contributions made to the development of the MCB program of courses will all be considered. Favorable student and peer reviews of teaching are expected. Individual instruction, advising, and mentoring of students should be part of the record of accomplishment. Teaching in the context of research/scholarship is also expected. It may involve participation as a member or the chair of graduate students' dissertation committees, working with postdoctoral fellows, or the training of others in the area of the candidate's specialization. Teaching, partnering, and mentoring K-12 teachers will also be considered appropriate teaching activities. If a major role in K-12 education is undertaken, this may be evaluated following the College of Science guidelines with the participation of the Science And Mathematics Education Center.</p>
Research Scholarly/ Creative Activity	<p>Evidence of original high quality research scholarship is expected so the candidate's research reputation is established at the national and international level. Accomplishments will be assessed by the discoveries made, the effectiveness of the research program, extramural grants, publication record, and receipt of awards, invitations to give presentations or to review manuscripts and grant applications, and other special recognition. Attracting others to the laboratory, such as graduate students, postdoctoral fellows, undergraduate students or other professors to work on one's research project, will also be taken as a sign of research recognition and achievement. Evidence for a continuing commitment to research scholarship is expected and will be judged by the candidate's demonstrated ability to sustain output throughout the Assistant Professor years.</p>	<p>Evidence for sustained productivity of high quality research/scholarship throughout the entire career as judged by continued publication, receipt of grants, awards, and reputation is required. The candidate must have established a clear and coherent line of inquiry that is recognized nationally and internationally. The candidate should be considered an "authority" or "major contributor" in his or her area of specialization. A national reputation for scholarship in educational research may also be considered. Research accomplishments that warrant promotion to full professor coupled with indications that scholarship will continue after promotion are key considerations.</p>
Service/ Outreach	<p>Significant service to the Department, the University, and the profession is expected. Indications of service will include participation on committees, holding elected and other responsible positions, organizing meetings, review of manuscripts for publication in professional journals, review of grants for state, federal, or international agencies, and efforts spent on the recruitment of faculty and students to the MCB program and the University. Other indications of service provided by the candidate will also be considered. The amount of service considered adequate will vary in each case and may be influenced by the strength of a candidate's contributions in teaching and research.</p>	<p>At the department/program level, leadership on committees and in departmental affairs should be documented. Contributions to College and University committees should also be evident. Service to the profession through national societies, reviewing and editorial work related to grants and publications, activities related to meetings, and in other ways is expected. Service to the community in general may also be appropriate. Promotion to professor requires a more significant service contribution than needed for promotion to Assoc Professor with tenure, regardless of the strengths of the research and teaching contributions.</p>

Neuroscience P & T Guidelines

Department of Neuroscience
GUIDELINES FOR ANNUAL PERFORMANCE REVIEWS,
PROMOTION AND TENURE & CONTINUING STATUS

The University policies and procedures governing Annual Performance Reviews, Promotion and Tenure are stated in the *University Handbook for Appointed Personnel*, chapters 3 and 4. The Department of Neuroscience policies are additional to and not a substitute for University and College of Science policies and instruction letters.

Decisions regarding non-renewal, promotion and tenure or continuing status of faculty members in the Department of Neuroscience will involve the following levels of review (*Handbook 3.12.07*):

1. Department of Neuroscience Promotion and Tenure Committee/Continuing Status Committee
2. Department Head
3. College of Science Promotion and Tenure Committee/Continuing Status Committee
4. University Standing Committee on Faculty Status/Continuing Status
5. Provost

ANNUAL PERFORMANCE REVIEWS

All faculty are reviewed annually. The Annual Performance Review is intended to support faculty members achieving excellence in their duties and responsibilities.

Annual Performance Reviews for faculty are conducted each year beginning in January. Each faculty member shall submit a report to the Department Head no later than February 1 of each year. This report shall list the objectives for the current reporting period as previously agreed, describe contributions to the Department during the previous three calendar years, and state objectives for the next reporting year. The report will include summaries of student evaluations for all courses taught during the previous calendar year.

Each faculty member will be reviewed by a Faculty Committee comprising at least three departmental faculty. The Committee will submit its evaluations to the Department Head no later than April 1. The Department Head will then summarize and interpret the evaluations and provide the Faculty member with her/his preliminary evaluation in writing. The Department Head will meet with the faculty member no later than April 15 to discuss the evaluation and agree on goals for the next year. The faculty member provides comments as desired, signs the document and returns it to the Department Head within 15 days of this meeting.

Workload assignments will be established annually by the Department Head in consultation with the faculty member. These assignments will take account of the goals stated in the annual report and the mission of the Department. They may vary within ranges approved by the Department Head in consultation with the Faculty. It is expected that these assignments will vary as careers

progress and in accordance with the strengths of each faculty member and current needs of the Department.

Periods of time spent on sabbatical leave, leave without pay, or full-time administrative assignments are separately evaluated.

Rating

Faculty will be rated in each of three primary areas of responsibility: teaching, research/scholarly activity, and service.

Rating will be on a five-level scale:

- Truly exceptional
- Exceeds expectations
- Meets expectations
- Needs improvement
- Unsatisfactory

The first four are regarded as "satisfactory." Faculty receiving an overall satisfactory rating, but having deficiency in a single area must enter a faculty development plan; Faculty receiving an Unsatisfactory rating are mandated to undertake a performance improvement program as outlined in the *University Handbook for Appointed Personnel*.

Measurement of Performance

Teaching. Activities considered to be positive contributions to teaching include:

1. Classroom teaching
2. Developing course materials
3. Coordinating a course
4. Supervising independent study courses or seminars
5. Supervising graduate and undergraduate research
6. Advising/mentoring graduate students
7. Advising/mentoring postdoctoral associates

Measures used to assess quality and quantity of these activities will include:

1. Student evaluation of teaching
2. Peer review of material presented in the annual report

and, in addition, may include:

3. Opinions of support personnel and teaching assistants
4. Invitations to contribute to other courses
5. Special recognition of teaching excellence by the University or outside organizations
6. Peer review of classroom teaching

The criteria for a rating of "satisfactory" or better in teaching depend on the preponderance of evidence from these sources. Ratings of "meets expectations" or "exceeds expectations" require

additional contributions in several of the activities described above, consistent with the faculty member's workload assignments and with the performance levels of other faculty in the Department. A rating of "exceptional" would indicate recognition from outside the Department.

Research/Scholarly Activity. Measures used to assess the quality and quantity of research include:

1. Publication in peer-reviewed journals
2. Obtaining grants from agencies using a peer review process
3. Invited presentations at national/international meetings and other universities
4. Voluntary presentations at national/international meetings
5. Publishing chapters in research-oriented books
6. Writing/editing research-oriented books
7. Writing upper-level textbooks
8. Honors or awards for research

The criteria for a rating of "satisfactory" or better in research are that the faculty member should normally average a major contribution to at least one peer-reviewed publication in each year, and should be PI on at least one sponsored research grant. Ratings of "meets expectations" or "exceeds expectations" require additional contributions in several of the activities described above, consistent with the faculty member's workload assignments and with the performance levels of other faculty in the Department. A rating of "exceptional" would indicate significant and specific recognition from the scientific community.

Service. Activities considered to be positive contributions to service include:

1. Serving on Departmental, School, or University committees
2. Chairing any committee
3. Serving in faculty governance (e.g. Faculty Senate)
4. Administrative assignments – including the administration of training grants
5. Mentoring other faculty
6. Contributions to interdisciplinary programs
7. Activity in professional organizations and granting agencies
8. Peer review of manuscripts/grants for journals and granting agencies
9. Service to other universities – e.g. reviewing tenure packages
10. Organizing scientific meetings
11. Participation in outreach related to the activities of the Department, School or University

These activities will be assessed primarily by peer review together with opinions of independent persons concerned with the activities.

The criteria for a rating of "satisfactory" or better in service are that the faculty member produce a yearly average of satisfactory participation in at least two of the activities listed above. Ratings of "meets expectations" or "exceeds expectations" require additional contributions in several of the activities described above, consistent with the faculty member's workload assignments and with the performance levels of other faculty in the Department. A rating of "exceptional" would

indicate very unusual accomplishments in service, as indicated by recognition from outside the Department.

Overall rating

The overall rating assigned by the Department Head shall be determined by the results of the three individual ratings consistent with the workload assignment and the mission of the Department. A rating of unsatisfactory in two of the three areas would normally dictate an overall rating of "unsatisfactory."

PROMOTION AND TENURE

Decisions regarding promotion and tenure will be made at the intervals prescribed in chapter 3 of the *University Handbook for Appointed Personnel*. Assistant Professors ordinarily will be reviewed before the ends of the third and sixth years. These reviews will be carried out separately from the Annual Performance Review by the Promotion and Tenure Committee.

The Department's Promotion and Tenure Committee is a standing committee comprising all tenured faculty of the Department above the rank of the person being considered for promotion, but excluding the Department Head. The committee may include a faculty member from outside the Department with research interests comparable with those of the person under consideration. This person will be selected by the Committee in consultation with the Department Head. The opinion of this committee is communicated in a written report, which may include a minority report, to the Department Head of the Department, who then transmits that report with his own recommendation to the Dean of the College of Science.

The following criteria for promotion are based on the guidelines set out in the *University Handbook for Appointed Personnel*.

Promotion or Appointment to Assistant Professor. Promotion or appointment to the rank of Assistant Professor is made chiefly on the basis of past achievements and promise. The position gives an individual the opportunity to develop potential and to demonstrate effectiveness in teaching and productivity as a scholar. To be promoted or appointed to this rank an individual should have a doctoral degree and, ordinarily, significant postdoctoral experience. The quality of education and the individual's previous record should be weighed in evaluating potential. The individual should have the ability to organize and clarify complex material in order to function and improve as a teacher.

Promotion or Appointment to Associate Professor. Promotion or appointment to the rank of Associate Professor requires a demonstration of excellence in research, teaching and service. Unusual accomplishments in one domain or the other may allow somewhat lower accomplishments in another.

For promotion, candidates must show evidence of productive and independent scholarly activity as evidenced by a reputation for excellence among peers at this and other institutions. This is

usually demonstrated through publications of high quality in peer-reviewed journals, attendance and presentations at national and international scientific meetings, invited presentations (seminars or lectures) at other institutions, meetings, or symposia, and receipt of extramural grants in support of research.

Note: In the Department of Neuroscience, the number of a candidate's publications is considered to be much less important than their quality and importance in the field as judged by expert referees. Moreover, the dollar amount of a candidate's extramural support is considered to be far less important than the demonstrated ability to secure funding that is sufficient to support the individual's research program. We recognize that a candidate's record of publication and funding may depend significantly on the kind of research she or he pursues; a level of funding and a rate of publication that are just adequate in one area may be exceptional in another. What is most important is that the candidate should have a clear record of peer-reviewed support of, and publications from, a focused, vigorous, independent research program *and exhibit promise of a sustained record of scholarly contributions.*

The candidate should have become an accomplished teacher as demonstrated by mastery of the fundamentals of the subject area(s) and ability to relate that knowledge to students, peers, and the lay public. Teaching should reflect a critical and selective balance of traditional and contemporary knowledge, and teaching efforts must show evidence of innovation in thought and delivery.

Note: All faculty must participate significantly in classroom teaching. For faculty with no research, service, or other instructional work, the benchmark teaching load is four entry level lecture courses and two preparations. Teaching activities that are appropriate, important, and encouraged for Neuroscience faculty include (in addition to principal emphasis on traditional classroom lecturing): teaching of small undergraduate (e.g. Honors) classes or seminars and graduate seminar courses, leadership of student colloquia and discussion groups, and especially the individual teaching of undergraduate, graduate, and postdoctoral research students in the laboratory.

Assessment of service is based on the candidate's contributions within the University and to the scientific community at large. Within the University, service comprises organization of extra-curricular activities, committee work, and other functions relating to the academic effectiveness of the Department, other department(s) and graduate programs with which the candidate is associated, and other components of the University. Extramural service includes membership on journal editorial boards and grant-review panels, active roles in scientific societies, teaching at summer institutes and research stations, ad hoc reviewing of manuscripts and grant proposals, organization of national and international meetings and workshops, and other similar activities.

Promotion to Professor. Promotion to the rank of Professor depends upon a sustained record of high-quality research, as demonstrated by: publications in excellent, peer-reviewed journals; successful competition for research grants; ability to attract excellent graduate students and postdoctoral trainees; invited service on national research committees (e.g. NIH study sections and site-visit teams, NSF panels, etc.); and national and international recognition as reflected in

significant honors and awards, invited participation in meetings and symposia, and letters of recommendation and evaluation. The candidate should be an active participant on committees both locally and nationally. Teaching should be of very high quality. The candidate's research program should not only be productive but also should provide training for research-oriented undergraduate students, graduate students, postdoctoral fellows, and other faculty. The number of trainees must not be over-emphasized because the complexity of some research programs, time required of the principal investigator, and laboratory space and facilities available are often limiting factors. Excellence of research training is the key consideration.

The candidate should express a wider perspective and greater maturity of judgment than usual for junior faculty. Although difficult to characterize, these advance attributes reveal themselves in power of communication, ability to excel in teaching, strong leadership and innovation in research, cognizance of fields other than one's own and interdisciplinary interactions, and acceptance of responsibilities in the University, the extramural scientific arena, and the community.

CONTINUING STATUS

In general, continuing-eligible personnel will have one principal area of responsibility: Research and Scholarship, or Facility Management. This general area of responsibility will be defined in the job description. In addition, staff will be expected to participate in teaching and service duties as appropriate to their particular roles.

Research and scholarship is judged on four primary areas: publications, oral presentations, obtaining grants, and the ability to take part in and establish collaborative research projects.

Facility management includes financial management and management of facility personnel, training of users of facility, arrangements for visitors, and ensuring maintenance of equipment.

Teaching ordinarily will not be a major area of responsibility for continuing-eligible personnel but will be assessed from the extent of involvement in lecture and seminar courses, and the extent of supervision and the productivity of research trainees.

Service. Intramural service on Departmental and University committees. Extramural service to professional societies, grant-giving agencies and other organizations outside the University.

1. Three and six-year review of continuing-eligible personnel:

Materials should support an informed judgment concerning the likelihood that the candidate will achieve excellence in her/his principal area of responsibility, as outlined above, and a satisfactory level of performance in other areas.

2. Promotion to associate research scientist (or equivalent rank), or attainment of continuing status: The dossier must provide evidence of having achieved excellence in the principal area of responsibility, with the expectation that this excellence will continue. Satisfactory performance in all areas is necessary and must be documented.

Continuing status ordinarily will be considered at the same time as promotion to associate research scientist and must be determined, at the latest, by the time of the sixth-year review (except in the case of “parental delay”). Exceptionally, continuing status may be reviewed separately from promotion.

3. Promotion to research scientist (or equivalent rank): The dossier must show that the candidate has achieved excellence in the principal area of responsibility with substantial evidence of having national and international stature. Promotion to this rank is not automatic; it must be earned.

Specific examples of the criteria to be used are outlined below:

Indicators of research effectiveness

1. Refereed journal articles published and scientific standing of journals
2. Chapters written for books, collections, handbooks, manuals or textbooks
3. Non-refereed journal articles published
4. Invited research presentations at professional conferences, seminars, colloquia. International and National status of meetings
5. Abstracts published
6. Grants awarded and standing of granting agency
7. Honors, awards, other recognition received

Indicators of managerial effectiveness

1. Efficient use of available resources
2. Ability to give direction without conflict and to motivate employees to accomplish goals
3. Satisfaction of users of facility (as indicated by letters)

Indicators of contribution to teaching

1. Courses wholly or partly organized
2. Teaching contribution to lecture and seminar courses
3. Faculty evaluations of teaching
4. Student evaluations of teaching
5. Contribution to in-service training of students
6. Letters from past and present students
7. Publications of students originating from the laboratory

Indicators of professional service

1. Service on University committees
2. Offices held in professional societies

3. Membership on professional committees
4. Membership on editorial committees
5. Papers refereed for journals
6. Consultancy work

Physics

P & T Guidelines

Physics Department, University of Arizona

Criteria for Promotion from Assistant Professor without Tenure to Associate Professor with Tenure

Of all the decisions for promotion within the academic ranks, the decision to grant tenure is the most serious. A successful candidate must exhibit excellence in both teaching and research, as well as competence in service. The candidate's performance is to be evaluated according to the following criteria.

Teaching-

A successful candidate for promotion to Associate Professor with tenure is expected to have established a record of excellence as a formal classroom teacher in several different undergraduate and graduate courses in physics. The record will consist of the written student and peer evaluations for all formally assigned courses taught by the candidate, and may include some or all of the following: informal and formal discussions with students, teaching awards, scholarly publications about teaching methods, course syllabi, instructions for new experiments developed for teaching laboratories, etc.

A successful candidate for promotion to Associate Professor with tenure is also expected to have established a record that demonstrates excellence as a research supervisor in working with undergraduate and graduate students, and possibly, postdoctoral research associates. The record should show that the candidate has been directing graduate students in thesis and dissertation research, and that the students have progressed rapidly toward their degrees with research publications with the candidate, and that the candidate has been able to successfully obtain contract and grant funds to support these students. Postdoctoral positions obtained by the candidate's research students provide additional evidence for success in this teaching endeavor.

Research-

A successful candidate for promotion from Assistant Professor without tenure to Associate Professor with tenure will have established a professional reputation for excellence in research. Evidence for this reputation consists of significant publications in refereed journals, invited talks at universities and other research institutes and at national and international conferences, success in soliciting funds to support research from agencies outside the university, and the receipt of awards and fellowships that honor research accomplishments. While the number of publications is not, by itself, an appropriate measure of research achievement, the publication record should demonstrate continuous professional growth and the number must be sufficient to allow evaluation of the candidate's research by peers outside the university.

In the case of a candidate who is a member of a large research group where it is difficult to establish individual responsibility, evidence must be presented that demonstrates that the candidate has achieved significant independence of reputation not dependent on the group, and that the candidate is capable of continued professional accomplishment should his/her current research group disband.

Service-

A successful candidate for promotion from Assistant Professor without tenure to Associate Professor with tenure is expected to have established a record of service to the department and university as evidenced, for example, by active participation on academic committees and service as an academic advisor. Service to the profession in general is demonstrated by activities such as refereeing publications and contract proposals, service on conference committees, etc. In general, the Physics Department does not expect untenured faculty to carry a heavy service load.

Physics Department, University of Arizona

Criteria for Promotion from Associate Professor with Tenure to Full Professor with Tenure

A decision to promote an Associate Professor with tenure to Full Professor with tenure is based upon the quality of the candidate's overall professional activities. The record should demonstrate that the candidate continues to excel as a teacher of formal courses at both undergraduate and graduate levels. The record should demonstrate continued work with graduate students and postdoctoral research associates in the informal teaching environment of research. As a general rule, substantial evidence must demonstrate that the candidate is acknowledged by peers from outside the University of Arizona to have achieved an international reputation as an excellent scientist. The record should demonstrate significant service contributions to the department, university and profession.

Teaching-

A successful candidate for promotion from Associate Professor with tenure to full Professor with tenure is expected to have established a record of excellence that demonstrates mastery of formal classroom teaching at all levels of courses in physics. The record will consist of written student and peer evaluations for all formally-assigned courses taught by the candidate, and may include some or all of the following: informal and formal interviews with students, teaching awards, scholarly publications about teaching methods, course syllabi, etc. At this level, particular weight will be given to evidence of innovation in teaching. Such evidence, for example, might consist of new lecture or laboratory courses developed and taught by the candidate.

A successful candidate for promotion from Associate Professor with tenure to Full Professor with tenure is expected to have established a record that demonstrates continuing excellence as a research supervisor in working with both undergraduate and graduate students, as well as postdoctoral research associates. By the time candidates reach this level, a reasonable number of their former students and research associates should be established professionals. It is expected that evidence for the candidate's excellence as a research supervisor may be provided by the level of professional recognition that is achieved by some of the former students and postdoctoral research Associates in careers that make use of the skills that they learned while serving under the candidate's supervision. It is expected that some former students should be achieving professional leadership roles in physics, physics-related, or technical jobs.

Research-

A successful candidate for promotion from Associate Professor with tenure to Full Professor with tenure will have established an international reputation for excellence in research. Evidence for this reputation consists of significant publications in refereed journals, invited talks at universities and other research institutes and at national and international conferences, service on organizing committees of such conferences, success in soliciting funds to support research from agencies outside the university, and the receipt of awards and fellowships that honor research accomplishments. While the number of publications is not, by itself, an appropriate measure of research achievement, the publication record should demonstrate not only continuous professional growth but also

indicate the achievement of leadership in a chosen field of research. Letters of evaluation from peers from outside the University of Arizona will constitute much of the evidence for attainment of this professional reputation.

Service-

A successful candidate for promotion from Associate Professor with tenure to Full Professor with tenure is expected to have established a significant record of service to the department and university as evidenced, for example, by service as chairman of significant Physics Department academic committees and service on university-wide committees. Service to the profession at a national and international level should be demonstrated by activities such as refereeing publications and contract proposals, professional society committees, conference organizing committees, etc. At this level, high weight will be given for service on national science advisory panels, etc.

Psychology P & T Guidelines

Psychology Department
Criteria for Promotion and
Tenure by Rank

	Associate Professor	Professor
Teaching	<p>Contributes to department's teaching load. Demonstrates effective teaching performance, as demonstrated by positive student evaluations and peer reviews by senior colleagues. Contributes to development of department's academic program, as evidenced by contributions to course syllabi and other teaching materials. Participates in student advising, including service on graduate students' thesis or dissertation committees.</p>	<p>Shows leadership in the department's teaching mission. Exercises leadership in department's academic program development as evidenced by experience in originating or revising courses as documented in course syllabi. Receives positive student and peer teaching evaluations. Shows outstanding record of student advising, including service as chair of graduate students' thesis or dissertation committees.</p>
Research/Scholarship	<p>Engages in quality original research/scholarly activity as evidenced by publication record. Establishes the promise of sustained scholarly activity in one or more areas. Provides evidence of recognition at regional and national levels. Contributes to grants, contracts, and/or other external research support activities. Involves graduate students and/or postdoctoral fellows in collaborative research and scholarly activities.</p>	<p>Demonstrates record as a productive investigator/scholar through continuing publication activity over a period of years. Establishes a clear and coherent line of inquiry. Provides evidence of recognition at national and international levels. Exercises leadership in seeking outside funding for research through grants, contracts, and/or other external research support activities. Involves undergraduate, graduate and /or postdoctoral students in collaborative research and scholarly activities.</p>
Service/Outreach	<p>Contributes to department committees. Contributes to the discipline through service to professional organizations and/or academic/scientific journals and grant reviewing. Contributes to local and/or state policy, services, industry, and or education of general public by sharing expertise.</p>	<p>Exercises leadership in department through service as a committee or program chairperson and/or outstanding and continued service to department committees. Contributes to discipline through outstanding and continued service to professional organizations, academic/scientific journals, and/or granting agencies, and contributes to local and/or state policy, services, industry, and/or education of general public by sharing expertise, providing evidence of national and international impact.</p>

SISTA

P & T Guidelines

College of Science
 School of Information: Science, Technology, and Arts
 School Criteria for Promotion and Tenure by Rank
 Guidelines adhere to College of Science Criteria (see attached)

Category	Associate Professor	Professor
Teaching and Advising	<p>Contributes to school's teaching load. Demonstrates effective teaching performance, as demonstrated by positive student evaluations and peer reviews by senior colleagues. Contributes to development of school's interdisciplinary academic program, as evidenced by courses and other teaching materials. Participates in student advising, including service on graduate students' thesis or dissertation committees.</p>	<p>Shows leadership in the school's teaching mission. Exercises leadership in school's academic program development as evidenced by experience in originating or revising courses as documented in course syllabi. Receives positive student and peer teaching evaluations. Shows outstanding record of student advising, including service as chair of graduate students' thesis or dissertation committees.</p>
Research/Scholarship and/or Creative Activity	<p>Engages in quality original research/scholarly activity as evidenced by publication record. Establishes the promise of sustained interdisciplinary scholarly activity in one or more areas. Provides evidence of recognition at regional and national levels. Exercises leadership in seeking outside funding for research through grants, contracts, and/or other external research support activities. Involves graduate students and/or postdoctoral fellows in collaborative research and scholarly activities.</p>	<p>Demonstrates record as a productive investigator/scholar through continuing publication activity over a period of years. Establishes a clear and coherent line of inquiry. Provides evidence of recognition at national and international levels. Exercises leadership in seeking outside funding for research through grants, contracts, and/or other external research support activities. Involves undergraduate, graduate and /or postdoctoral students in collaborative research and scholarly activities.</p>
Service/Outreach	<p>Contributes to school committees. Contributes through service to professional organizations and/or academic/scientific journals and/or grant reviewing. Contributes to local and/or state policy, services, industry, and or education of general public by sharing expertise.</p>	<p>Exercises leadership in school through service as a committee or program chairperson and/or outstanding and continued service to department committees. Contributes through outstanding and continued service to professional organizations, academic/scientific conferences and/or journals, and/or granting agencies, and contributes to local and/or state policy, services, industry, and/or education of general public by sharing expertise, providing evidence of national and international impact.</p>

Speech, Language and Hearing Sciences P & T Guidelines

**DEPARTMENT OF SPEECH, LANGUAGE, AND HEARING SCIENCES
CRITERIA FOR PROMOTION TO ASSOCIATE PROFESSOR WITH TENURE**

Associate Professor: Promotion is based on a history of excellent performance in research, teaching, and service and the potential for continued excellence.

Teaching: Instruction of undergraduate and graduate course assignments is characterized by effective coverage of current information in ways that foster critical thinking and motivate independent learning. Teaching receives positive student and peer assessments. Provides independent study opportunities for both undergraduate and graduate students. Chairs or serves on program, thesis, and dissertation committees of graduate students. Student advising responsibilities are completed appropriately and competently.

Research/Scholarship: Has established an independent program of research. Publication record is consistently productive and significant in contributions to one or more areas of study or practice. Work in specialty has achieved national prominence. Record of invited and peer-reviewed presentations at national conferences and meetings is substantial and growing. Actively pursues extra-mural grant and contract activities and encourages the collaborative participation of students in research and scholarly activities. Reviews for the field's major scientific and professional journals.

Service/Outreach: Relates and interacts successfully and collegially with students and peers. Participates effectively on departmental and university committees. Holds appointments to committees, boards or review panels of national scientific, professional or governmental organizations. Serves in local, state, or national groups or organizations related to the research or service needs of communication disorders clinical populations. Supports activities of the Department's undergraduate and graduate majors.

**DEPARTMENT OF SPEECH, LANGUAGE, AND HEARING SCIENCES
CRITERIA FOR PROMOTION TO PROFESSOR**

Professor: Promotion is based on sustained excellence in research, teaching and service that has earned the individual an international reputation.

Teaching: Instructional and mentoring contributions in area(s) of specialty meet standards of the highest quality and consistently receive positive student and peer assessments. Direction of independent study, thesis, and dissertation projects typically result in peer-reviewed presentations or publications. Has played leadership roles over time in developing and refining the department's curriculum and degree program requirements. Maintains high levels of academic and pre-professional advising and mentoring.

Research/Scholarship: Academic career is characterized by productivity and contributions to a coherent line of inquiry that has advanced knowledge in one or more areas of study or practice. Work in specialty area(s) has earned prominent international stature and attracts graduate students to the University. Pursuit of extra-mural funding compares favorably with that of similarly ranked faculty in the Department. Strong record of invited and peer-reviewed presentations at major scientific and professional forums throughout the world. Editorial responsibilities are commensurate with stature in the field.

Service/Outreach: Exemplary record of service as chair and productive and collegial member of departmental, college, and university committees and is viewed by senior colleagues in the Department as a faculty leader. Highly effective as a representative of the department and profession in projects and activities at local, national, and international levels, and contributions to scientific and professional organizations bring distinction to the Department and enhance its reputation.

Laboratory of Tree-Ring Research P & T Guidelines

Promotion from Continuing-Eligible to Continuing Status in the Laboratory of Tree-Ring Research

(Oct. 2011)

Every person hired into a continuing-eligible position by the Laboratory of Tree-Ring Research (LTRR) is hired with the hope that they will earn continuing status in accordance with university and college faculty and professional personnel policies. In concurrence with the Director, the continuing status candidate will be assigned various duties as listed in the letter of appointment and as weightings are assigned for these duties for the coming year in each annual review..

Promotion from continuing-eligible status to continuing status is granted only to candidates who have demonstrated excellence in research, service/outreach, and teaching activities in accordance with assigned duties and their respective weightings. The weighting for research, service/outreach, and teaching may be very different from that seen for typical tenure-eligible positions in LTRR. For example, continuing-eligible positions may emphasize primarily research and service, with a relatively minor portion of their time devoted to teaching. However, in concurrence with the Director, teaching effort and the weighting assigned to this role for review purposes may be a relatively larger part of the duties. Criteria for promotion include the following:

Professional activity

Candidates must present evidence of having established a coherent and productive program of research or creative activity appropriate to their conditions of appointment, and the standards of the College of Science and LTRR. The professional activity needs to have made an important contribution in the candidate's field. To the extent that published works are relevant, they should be of sufficient quality and quantity to establish an emerging national and possible international reputation and show clear promise of sustained contribution into the future.

An important measure of quality is the evaluation by independent internal and external reviewers. The candidate's professional stature and achievement will be evaluated in a manner consistent with the candidate's professional duties as indicated in their letter of appointment. The scholarly elements of their work will be assessed in terms of publications in peer-reviewed journals, grants (especially from competitive programs), awards and fellowships, citations, and presentations. In all cases, candidates should participate in national meetings as a primary outlet of professional presentation.

Research

To the extent that research is a component of the candidate's duties, their record of research must establish their independence as a scholar and provide evidence of at least national recognition of their distinctive contribution. In particular, there should be a record of significant published research and ongoing funding at the University of Arizona.

Service/Outreach

Candidates are expected to contribute consistent with their workload assignment and LTRR expectations. For some candidates this may be the primary area of performance evaluation

related to specific tasks enhancing the research capacity and capabilities of LTRR, which may further serve the global field of tree-ring research more generally.

Other important areas of outreach/service activities may be contributions to academic planning of LTRR (and perhaps at the college and university levels) by effectively carrying out committee assignments, participation where appropriate in local, regional, national, and international meetings, active participation in professional societies, participation in peer review activities (including but not limited to manuscript and grant review, discussion of research at professional meetings), and sharing their professional expertise with the public through outreach avenues such as local schools, agencies, commissions, consulting assignments or panels.

Teaching

To the extent that teaching is relevant to the duties outlined in the letter of appointment, particularly when it is more than 10% of effort, the required evaluation for excellence for continuing status promotion decisions can be variously demonstrated by such means as evaluation of course objectives and syllabi, handouts, assignments and tests (even theses and dissertations), faculty peer review (multiple classroom visits if that is part of the assessment), and student surveys (preferably university TCE forms). When teaching is more than a minor duty, a teaching portfolio is often a good way for the candidate to document teaching activities and achievements.

LABORATORY OF TREE-RING RESEARCH

The University of Arizona
Tucson, Arizona 85721 USA

POLICY ON APPOINTMENT OR PROMOTION

Nontenure-Eligible Faculty

	Associate Professor	Professor
<p>Research, Scholarly/Creative Activity:</p>	<p>Substantial accomplishment in research will be indicated by sustained scholarly activity in one or more areas, with a building record of publication in national and international journals, and recognition at regional and national levels, and significant progress towards achieving international stature. Clear indications of potential for continued scholarly productivity will also include effort and success in obtaining research grants and contracts. Collaboration with graduate students and other scientists is also an important indication of accomplishment and potential for sustained productivity.</p>	<p>Excellence, creativity, and impact in research, and effectiveness in communicating research, are indicated by sustained high quality in publishing in national and international journals, and international stature with the expectation that excellence will continue. Impact and effectiveness in research is also indicated by effort and success in obtaining research contracts and grants. The very nature of LTRR commonly necessitates collaborative effort, in both research and scholarly activity, and this may be reflected in the publication and funding record.</p>
<p>Teaching</p> <p>To the extent that teaching is specified as a proportion of time devoted to this endeavor in annual reports, or teaching has been a part of the faculty member's record, the following criteria may be considered in appointment or promotion:</p>	<p>Evidence of substantial accomplishment in teaching includes development and improvement in course materials, positive reviews by students, and favorable evaluations by senior faculty. Participation in mentoring and advising may be indicated by service as chairperson and as a member of thesis or dissertation committees.</p>	<p>Excellence in teaching includes, but is not limited to, recognition of teaching excellence by students and the LTRR faculty in peer reviews, and by outside sources. Excellence in teaching also includes leadership in developing or improving LTRR or university teaching programs, a strong record of student mentoring, and service as chairperson and as a member of thesis or dissertation committees.</p>
<p>Service/Outreach</p> <p>To the extent that service/outreach are specified as proportions of time devoted to these endeavors in annual reports, or these endeavors have been a part of the faculty member's record, the following criteria may be considered in appointment or promotion:</p>	<p>Good performance in the service area is indicated by service on LTRR, college or university committees, presentations or scientific advice to local or regional groups, and service to national or international organizations or journals.</p>	<p>A strong commitment to outreach and service is demonstrated by service on department, college and university committees. A substantial outreach effort is also indicated by presentations or scientific advice to local, state, national or international organizations. Service to professional organizations, journals and other professional activities of national and international stature is an important aspect of service.</p>

LABORATORY OF TREE-RING RESEARCH

The University of Arizona
Tucson, Arizona 85721 USA

POLICY ON PROMOTION Continuing-Eligible Professionals

	Continuing	Full Continuing
Teaching [Note: This element may be a relatively minor component of duties assigned, i.e., less than 10%.]	Evidence of substantial accomplishment in teaching includes development and improvement in course materials, , positive reviews by students, and favorable evaluations by senior faculty. Participation in mentoring and advising may be indicated by service as chairperson and as a member of thesis or dissertation committees.	Excellence in teaching includes, but is not limited to, , recognition of teaching excellence by students and the LTRR faculty in peer reviews, and by outside sources. Excellence in teaching also includes leadership in developing or improving LTRR or university teaching programs, a strong record of student mentoring, and service as chairperson and as a member of thesis or dissertation committees.
Research, Scholarly/Creative Activity:	Substantial accomplishment in research will be indicated by sustained scholarly activity in one or more areas, with a building record of publication in national and international journals, and recognition at regional and national levels. Clear indications of potential for continued scholarly productivity will also include effort and success in obtaining research grants and contracts. Collaboration with graduate students and other scientists is also an important indication of accomplishment and potential for sustained productivity.	Excellence, creativity, and impact in research, and effectiveness in communicating research, is indicated by sustained high quality in publishing in national and international journals. Impact and effectiveness in research is also indicated by effort and success in obtaining research contracts and grants. The very nature of LTRR commonly necessitates collaborative effort, in both research and scholarly activity, and this may be reflected in the publication and funding record.
Service/Outreach	Where service is the primary workload responsibility, advancement and completion of assigned LTRR service tasks is paramount. Good performance in the service area is additionally indicated by service on LTRR, college or university committees, presentations or scientific advice to local or regional groups, and service to national or international organizations or journals.	Where service is the primary workload responsibility, advancement and completion of assigned LTRR service tasks is paramount. Generally, a strong commitment to outreach and service is demonstrated by service on department, college and university committees. A substantial outreach effort is also indicated by presentations or scientific advice to local, state, national or international organizations. Service to professional organizations, journals and other professional activities of national and international stature is an important aspect of service.

September 2011