

OFFICE OF THE VICE PRESIDENT FOR RESEARCH (OVPR)

GUIDANCE IN MATTERS PERTAINING TO MERIT, WORKLOAD, BYLAWS, AND PROMOTION AND TENURE (AAUP)

In accordance with Article 13.4(A) of the AAUP Collective Bargaining Agreement, *“All formal evaluations shall be conducted in accordance with procedures developed by each school, college, or department. **Departments, schools and colleges shall establish and publish such evaluation procedures on or before December 31, 2017. Subsequent changes in such procedures shall also be published.**”*

Formal review of In-Residence and other non-tenure track faculty is conducted by the school/college or administrative unit with reappointment determined by satisfactory performance and the availability of funding. Evaluation of research faculty for reappointment and promotion shall be done by means of the PTR procedure, but persons holding this appointment are not eligible for tenure and do not accumulate time toward tenure.

In matters pertaining to the recommendation for merit, workload, bylaws, promotion, tenure, and reappointment of AAUP Bargaining Unit members, following is the general guidance for Centers and Institutes reporting to the Office of the Vice President for Research:

Faculty With A Primary Academic Department Appointment

- Faculty will follow the guidelines established by the primary academic department, with input from the appropriate Unit/Center Director.

Faculty Without A Primary Academic Department (Center/Institute/Unit Staff)

- Centers, Institutes, and Units reporting to the Office of the Vice President for Research operate primarily as administrative units and in accordance with applicable University policies, in lieu of bylaws.
- Centers/Institutes/Units may develop their own promotion and reappointment procedures appropriate for non-tenure track faculty within their unit; however, such procedures must be in accord with university policies. Reappointment and Promotion of non-tenure track faculty cannot be done on an ad hoc basis; **standing procedures must be established, published, and disseminated to applicable faculty**. Any changes in procedures must be approved by the Vice President for Research.
- Centers/Institutes/Units under the OVPR that do not have approved promotion and reappointment procedures in place will default to the following procedures:
 - o For purposes of annual reappointment, the Director will provide a written evaluation of performance.
 - o For purposes of promotion, a PTR committee will be established. The committee must include a minimum of 3 faculty to review the PTR form and supporting documentation. The Director will be responsible for constituting the PTR committee.
 - o Research faculty seeking promotion should complete all applicable sections of the Provost PTR form (see [Provost’s Promotion, Tenure, and Reappointment SharePoint](#)). Alternatively, Units may choose to modify the existing PTR form to better align with the role of their non-tenure track faculty.

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- Deadlines for submitting and evaluating promotion dossiers should be consistent with the University deadlines for departments, college/schools, and Provost.
- A minimum of five external letters of reference are required for research faculty being considered for promotion. The Director is responsible for obtaining the external letters of reference. Each external evaluation letter should be accompanied by a copy of the letter used to solicit the evaluation as well as the credentials of the letter writers. Reference letters should be obtained from faculty and scholars of equivalent stature, in the faculty member's field outside of the university who can speak to his/her professional contribution to scholarship, research, and/or creative accomplishments. Directors should follow the Provost guidelines for external referees.
- The Committee will submit to the Director its recommendations and supporting evidence in writing.
- The Director shall inform the faculty member of the recommendations by the Director and the Committee, including the substance of any dissenting opinions.
- The Director shall submit to the Vice President for Research in writing his/her recommendations and those of the Committee.
- If either the Director or Committee makes a negative recommendation to the VPR, the faculty member may submit to the VPR a written statement presenting his/her case for consideration by the VPR.

- The final submission of PTR dossiers will be to the Vice President for Research. *(Exception: the promotion of In-Residence faculty requires a review and recommendation at all levels, including the Provost).*

For a published copy of these guidelines, visit: <https://ovpr.uconn.edu/about/careers/>