

II. Guidelines for Establishing and Filling Positions in the Research Title Series

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**Guidelines for Establishing
and Filling Positions in the Research Title Series**

Executive Summary

The research title series is a professional series for appointment of appropriately qualified individuals who contribute to the university's academic mission by participation in projects which (1) predominantly involve research or other creative activities, (2) are of limited and specified duration, and (3) operate under contracts, grants, or other designated funds. Appointments to the research title series are not intended to be used to replace tenure track positions. Note, however, that research faculty are permitted to teach one or two classes a year with the permission of the department, including its faculty, and that when this occurs, funding for instruction must be from an appropriate source for such instructional activity.

Criteria for appointment, performance review and promotion in the research title series are given herein. Appointment, review, and promotion in the research title series require demonstrated ability to initiate and maintain a program of research or creative activity supported by contracts, grants or other designated funds. Employment as an Associate Research Professor and Research Professor requires evidence of prior or current success as a Principal Investigator or Co-Principal Investigator of research grants. Contract, grant, or other designated funds are expected to cover salaries and costs of benefits for the research titled individual, operating expenses, equipment and overhead. Appointees in the research title series are not eligible for tenure.

An assistant research professor shall be appointed with a one year contract that may be renewed annually, but not to exceed six years, or if for a lesser period of time, the period of funding from the contract, grant or other designated funds. An associate research professor or a research professor shall be appointed with a one year contract that may be renewed annually or, if for a lesser period of time, the period of funding from the contract, grant or other designated funds. All appointees in the research title series will have annual, written employment contracts.

Appointees in the research title series are considered to be independent investigators and are under the supervision of the department head/chair or unit head. They are eligible for all the benefits of the tenure track faculty except tenure and professional improvement leave. The department or unit must assure that space and facilities are available for conducting research as appropriate for an independent investigator. Research title series positions are not to be considered a substitute for post doctoral positions or a means to extend post doctoral appointment beyond university time limits for post doctoral appointments.

To establish a position in the research title series, the initiating unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source (including any commitment of Auburn University), amount, and term of funding for the program of research or creative activity, (2) prepare a job description and identify any space that is needed for the performance of research; and (3) obtain approvals of the proposal by the chief administrative officer of the concerned unit, the dean of the college/school, and the Provost. The proposal shall be transmitted to Dean of the college/school by the department head/chair or unit head with his/her indication of faculty approval for establishment of the position. The hiring of research faculty will follow normal university hiring procedures, except where to do so would be impractical because of the provisions/requirements of the contract, grant or other designated funds. Joint appointments require the approval of all Deans involved.

Procedures for promotion in the research title series are the same as those for tenure track faculty as outlined in the Auburn University Faculty Handbook (Chapter 3). These procedures include the supply of information by the candidate and department head/chair or unit head necessary for evaluation by the department's faculty (both tenure track and non-tenure track), the Dean, and the University Promotion and Tenure Committee. The information should contain sufficient detail so that the Dean, the departmental faculty, college/school committee (if appropriate) and the University Promotion and Tenure Committee can evaluate a candidate in terms of collegiality, potential and achievement. Non-tenure track faculty are eligible to serve on the University Promotion and Tenure Committee, under the same rules as the tenure track faculty except that they will not vote on tenure. When the non-tenure track research faculty of a college composes at least 10% of the total tenure track and non-tenure track research faculty in that college, then that College Promotion and Tenure Committee shall have a non-tenure track faculty member. The University Promotion and Tenure Committee shall have one representative from the non-tenure track research faculty whenever a non-tenure track research faculty case comes before the committee.

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Appointment and Promotion in the Research Title Series

A. Introduction

In its role as a comprehensive research institution, Auburn University has a need to continuously expand its pool of scientists, engineers, specially trained investigators, and other highly qualified personnel who are not part of the tenure-track system to meet responsibilities in research and other creative activities, especially those responsibilities related to projects which the institution operates under contracts, grants or other designated funds. To fulfill these requirements more effectively and to be more competitive in attracting and retaining needed professional personnel, a research title series for appointments and promotions without tenure is established as hereafter defined and described.

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B. Definition

The research title series is a professional series for appointment and promotion of appropriately qualified individuals who participate in the University's mission by participation in projects which (1) predominantly involve research or other creative activities, (2) are of limited and specified duration, and (3) operate under contracts, grants, or other designated funds. Designated funds are defined as:

- Generated income
- Contracts or grants funds either from external or internal sources
- Cost sharing funds
- Funds from indirect cost recoveries
- Funds from the OVPR
- Endowment funds
- Gift funds
- Funds from operating budgets of individual units currently (FY 1999) designated for non-tenure track personnel with appropriate salary increases and market value for new hires
- Discretionary funds from the Office of the President and/or Office of the Provost that are designated for research
- Discretionary funds under the control of deans and directors, that are designated for research

A faculty member on appointment in the research title series shall not have any regularly scheduled teaching or service assignments. Interim appointment and payment of salary from funds other than those associated with contracts, grants, and other designated funds may occur, with approval of the Provost, when there is a gap of six months or less between approved contracts, grants, or other sources of designated funds. However, in such circumstances, the appointee's assignment shall be consistent with the duties which the individual had and will be expected to continue under a program for research or other creative activity which is supported from contracts, grants, or other designated funds. With prior approval from the Provost, teaching duties may be assigned if the only salary funds available are teaching funds.

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C. Establishment of a Position

To establish a position in the research title series, the initiating unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source (including any commitment of Auburn University), amount, and term of funding for the program of research or creative activity, (2) prepare a job description and identify any space that is needed for the performance of research; and (3) obtain approvals of the proposal by the chief administrative officer of the concerned unit, the dean of the college/school, and the Provost. The proposal shall be transmitted to Dean of the college/school by the department head/chair or unit head with his/her indication of faculty approval for establishment of the position. The hiring of research faculty will follow normal university hiring procedures, except where to do so would be impractical because of the provisions of the contract, grant or other designated funds. Joint appointments require the approval of all Deans involved.

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D. Areas of Activity

Four areas of activity are important in the evaluation of individuals for appointment, performance review, and promotion in the research title series: (1) documented evidence of research or other creative activity; (2) national and international professional status and activity as indicated by evaluation statements from external peers; (3) ability to initiate and maintain a program of research or creative activity supported by contracts, grants, or other designated funds, (4) collegiality, as defined for tenure track faculty in the Faculty Handbook.

Guidelines relative to the first two areas of activity are described in the Faculty Handbook Chapter 3, Section 8.B. Promotion Criteria and Considerations - Research/Creative Work; guidelines for the third area of activity are well-established in that the contract, grant, or other source of designated funds should cover salaries and costs of benefits for personnel, operating expenses, equipment, and overhead.

Research faculty are not normally expected to teach; however, when it is mutually agreeable to the academic unit, including its department head and its faculty, and the research faculty member, no more than one or two courses may be taught during a calendar year. If more than two courses are to be taught during a calendar year, prior approval must be obtained from the Provost. The Provost's office will be notified of the teaching responsibilities of research career ladder faculty. The contract between the research faculty and the university must specify the amount of teaching expected and an appropriate source of the funding to support such instructional activity.

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Initial Appointment

Initial appointments are made as the result of departmental or unit searches. Departments and units have some leeway in establishing the search procedures most appropriate for their particular circumstances. The department or unit might act as a committee of the whole or smaller screening committees might be used; a recommendation by a search committee might be transmitted to the department or unit as a whole for further consideration and transmittal to the department head or unit head or it might be transmitted directly to the department head or unit head. Whatever the procedure, it should be established in advance of need by the department or unit as a whole. The department head or unit head, in consultation with his or her faculty, should decide upon the positions needed and the qualifications a successful candidate must have. Together they should develop a position description to be supplied to the candidates. The appointment of an internal candidate to fill a vacancy is a temporary solution and shall neither foreclose or delay a national search to fill the originally vacated position. The internal candidate may subsequently compete in the national search.

The department head or unit head and the search committee shall be guided by the Affirmative Action Office in framing an advertisement for the position, in seeking permission to advertise, and in recommending an appointment. Guidelines from the Affirmative Action Office help ensure compliance with federal law and help ensure an open and fair search.

When making recommendations for appointments in the research title series except those designated as temporary, the department head or unit head shall confer with all available members of the department holding professorial ranks or, if the unit does not include professorial faculty, with those faculty holding continuing appointments. He or she shall then transmit a written summary of the reactions of these faculty members along with appointment forms through the appropriate dean and/or director, to the Provost. Where the faculty members do not concur in an initial appointment, the head may submit a recommendation for appointment with his or her justification and a report of non-concurrence of the faculty. An appointment made without the support of the faculty may jeopardize the new hire since the faculty will ultimately vote on promotion.

The doctorate is the terminal degree for most disciplines represented at Auburn University. Requests for exceptions must be presented with appropriate justification by the department head, with faculty concurrence, and the dean to the Provost. The appointment cannot be made without the approval in writing of the Provost.

Each initial appointment must be confirmed by the appropriate department head/unit head or dean in a written notice to the appointee after proper administrative approvals have been obtained. This notice should include determination of prior service at another institution to be credited toward the probationary period. This letter constitutes the faculty member's written terms of the initial employment.

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E. Academic Ranks, Titles, and Criteria

The academic ranks and related titles in the research title series shall be: (1) assistant research professor; (2) associate research professor and (3) research professor. Although it is not feasible to specify exact criteria for evaluating the credentials of an individual for appointment or promotion to any one particular rank in the research title series, the following statements are provided as guidelines.

1. Assistant Research Professor

Assistant Research Professor is the usual entry-level rank for a candidate who has completed the appropriate terminal degree (usually a doctorate) or has the equivalent in training, ability, and experience. While a terminal degree or the equivalent is required, an appointee is not required to have a minimum number of years in research service to be eligible for the rank of assistant research professor.

Appointment to the rank of assistant research professor shall be made when it has been determined that the individual (1) has a current independent capability for conducting reliable research or other creative work supported through contracts, grants, or other designated funds, (2) has a potential for significant professional growth in the field of research or creative activity, and (3) holds the terminal academic degree appropriate to the field.

2. Associate Research Professor

Associate Research Professor is a rank of distinction which is attained through successful performance of assigned duties. A candidate should hold the appropriate terminal degree (usually a doctorate) or the equivalent. Normally, a candidate serves at least four complete years on full-time appointment at the assistant research professor level before he/she may be nominated for promotion to associate research professor. Prior faculty service at other colleges or universities or prior service in appropriate professional activities may qualify for consideration in meeting the requirement for years in rank for promotion. A candidate who is especially meritorious may be recommended for early promotion by the department head/chair or unit head.

A candidate for associate research professor should have demonstrated mastery of the subject matter in his/her field and the ability to apply it well in his/her research/creative work. Additionally, the candidate should have contributed, typically through significant scholarly or creative work, to his/her area of specialization and participated in professional activities.

Appointment or promotion to the rank of associate research professor shall be made only after documented indication of continuous improvement and contribution by the individual in research or other creative activity supported through contracts, grants, or other designated funds. Collegiality, as defined for tenure track faculty in the Faculty Handbook, Chapter 3, is considered in the promotion process from assistant to associate research professor. Evaluation of performance will be based on the allocation of time and effort as specified by the terms of his/her contract for the last three years. Furthermore, the individual shall have earned an emerging stature as a regional or national authority as supported by external letters of evaluation. Successful efforts in obtaining extramural support for research/creative work must be demonstrated.

3. Research Professor

Research Professor is a rank requiring professional peer-recognition of the individual as an authority in his/her field of specialization. A candidate must be recognized by associates as a researcher, scholar, and/or artist. It is, therefore, expected that peers within and outside the University will attest to the candidate's high professional standing. A candidate should hold the appropriate terminal degree (usually a doctorate) or the equivalent. Normally, a candidate must serve at least four complete years on full-time appointment at the

associate research professor level before he/she may be nominated for promotion to research professor. A candidate who is especially meritorious may be recommended for early promotion by the department head/chair or unit head.

Appointment or promotion to the rank of research professor is an indication that, in the opinions of colleagues and administrators, the individual is outstanding in research or other creative activity supported through contracts, grants, or other designated funds and has earned national and, perhaps, international recognition. Collegiality, as defined for tenure track faculty in the Faculty Handbook, Chapter 3, is considered in the promotion process to research professor. Evaluation of performance will be based on the allocation of time and effort as specified by the terms of his/her contract for the last three years. It should be further emphasized that this rank is a recognition of attainment rather than years of experience or length of appointment.

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F. Performance Evaluation

All department heads/chairs and unit heads, such as center and institute directors, shall conduct at least one yearly review before May 31 with each research track faculty member to evaluate his/her performance and to discuss his/her future development. For the review, the research faculty member will provide a current vita and any supporting material the head/chair or unit head or the research faculty member deems appropriate.

In the case of research faculty members who have not achieved promotion to associate research professor or research professor, particular care shall be taken by the department head/chair or unit head to relate the faculty member's job performance to the promotion criteria set forth in this document. Significant achievements or deficiencies which might enhance or impede the candidate's progress toward higher academic rank shall be noted.

The head/chair or unit head shall prepare a written report covering the major points of the conference. A copy of the report shall be provided to the research faculty member within a month of the conference. The research faculty member shall be asked to sign it as confirmation of having seen it. If the research faculty member does not agree with material in the report, he/she may write a response to be appended to the report. One copy of the signed report and response, if there is one, is to be retained for the research faculty member's departmental personnel file; another copy is to be given to the research faculty member. This report is to remain confidential, available only for the use of the concerned research faculty member and any University officials who have supervisory responsibility over the research faculty member.

Each department head/chair or unit head shall conduct a third year review of all its assistant research professors. This shall take place no later than 32 months after initial appointment, normally before May 31 of the research faculty member's third year. As with the annual review, the head/chair or unit head shall request a current vita and any supporting material the head/chair or unit head or the research faculty member deems appropriate prior to the third year review. The particular focus of this review is the research faculty member's progress toward achieving promotion to associate research professor. The review, therefore, must address the criteria for promotion set forth in this document. The head/chair or unit head shall prepare a written report covering the findings of the review.

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G. Promotion Criteria and Considerations for Research Faculty

A research faculty member is focused on research/creative work and has the obligation to contribute to his/her discipline through applied and/or basic research, through creative endeavors, or through interpretive scholarship. To a large extent, each discipline and each department must determine how much and what

quality of research/creative work is appropriate for promotion and judge its candidates accordingly. In appraising the candidate's work, faculty members should consider the collegiality, quality and significance of the work, the quality of the outlet for publication or exhibition, and, in cases of collaborative work, the role of the candidate.

Research and creative work ordinarily can be documented by a candidate's publications or performances/exhibitions. Publication subjected to critical review by other scholars (refereed) as a condition of publication should carry more weight than publication that is not refereed. Nevertheless, all forms of publication, including articles intended for a non-academic audience, should be considered provided they are of high quality in relation to the purpose intended. Scholarly papers subjected to peer review and delivered at a regional or national conference and creative work subjected to peer review and performed or exhibited on a regional or national level should carry more weight than work done only on a local level. However, the source of the research faculty member's funding and the stated mission of the funded research must be taken into consideration when evaluating the publications and creative works produced by the research faculty member. Successful efforts in obtaining extramural support for research/creative work should also be positively considered in evaluation of the candidate.

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H. Eligibility for Promotion

There is no fixed requirement for years of service at a given rank before a research faculty member can be promoted. However, the qualifications for promotion for each rank generally cannot be demonstrated fully in less than four complete years of service. Only in exceptional, well documented cases should a faculty member be recommended for promotion when he/she has completed fewer than four years in rank.

A research faculty member on leave of absence without pay need not count his/her leave time toward promotion. A research faculty member on leave without pay cannot be a candidate for promotion while on leave. A research assistant professor who has qualified for FMLA leave while holding a research appointment may request a one-year extension of the date on which the probationary period would end. The written agreement must be received by the Provost within the probationary year in which the extension is requested. Only two such extensions are allowed. Any request may be made only during the first five probationary years. The faculty member will retain the position of full-time employee.

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I. Procedure for Promotion

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1. Initiation of the Process

The promotion process can be initiated by the candidate's department head/chair or unit head or by the candidate. In the case of promotion to associate research professor, it is the joint responsibility of the department head and the faculty member to see that the promotion process begins at the appropriate time. The steps delineated below are the procedures to follow for promoting a research faculty member.

Candidates and department heads/chairs or unit heads should supply information necessary for evaluation in the format outlined. This information should be made available first to eligible faculty members, a college/school committee (if appropriate), then to the dean and then to the University Promotion and Tenure Committee. The information requested is sufficiently detailed so that a candidate can be evaluated in terms of

both potential and achievement. Department heads/chairs and candidates who have questions about material to be submitted should feel free to contact the Provost.

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2. Information on the Candidate

The outline printed below indicates the kind of information each candidate for promotion and his/her department head/chair or unit head should supply and describes the format to be followed in presenting that information.

This outline is subject to periodic revision.

A. General Instructions

All lists (of positions held, publications, and, if applicable, courses taught, etc.) should be in reverse chronological order with dates clearly indicated.

Supporting material such as publications, slides, evaluative material (book reviews, published critiques, adjudicated production reviews, etc.) should be made available for review by the department head/chair or unit head and later by the dean. The candidate and department head/chair or unit head should agree on the selection of material to be made available.

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B. Information to Be Supplied by the Candidate

1. A Standard Biographical Data sheet (see Faculty Handbook for form).
2. A percent breakdown of the allocation of time and effort as specified by the terms of his/her contract for the past three years.
3. A list of honors and awards. Include academic honors, research and professional service awards, fellowships (such as NEH, NEA), internal support, election to professional societies, etc.
4. A list of scholarly contributions in accord with the following outline. A candidate should present his/her work as informatively and accurately as possible. A candidate should cross-reference work that falls in two areas (e.g.: See X.x.).

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C. Scholarly Contributions by the Candidate

1. Teaching

- a. Actual courses taught for each semester of the past three years. Indicate lecture/lab hours per week and enrollment.
- b. Graduate students whose work has been completed. Indicate degree awarded to the student, year, and, if known, position now held by the student; indicate whether the candidate was the major professor or a

committee member.

c. Graduate students on whose committee the candidate is presently serving. Indicate whether the candidate is the major professor or a committee member. Indicate the degree the student is working for and the work that the candidate has done.

d. Courses and curricula developed.

e. Grants received related to teaching.

f. Publications pertaining to teaching. Include textbooks, manuals, articles on pedagogy.

g. Other contributions to teaching.

h. Statement of candidate's teaching philosophy and self-evaluation in terms of his or her stated values. This should be no longer than one page.

2. Research/Creative Work

For publications, provide complete publication data. In cases of multiple authorship, list names of all authors in correct order. Inform the committee of the significance of author order on publications in the candidate's discipline. Indicate percent of the candidate's contribution or describe the nature of the candidate's contribution; indicate, by means of an asterisk, student contributions. Provide, in an appendix, proof of acceptance of publications in press and proof of publications of which acceptance is conditional. Do not submit manuscripts that have not been accepted for publication. For exhibitions and performances, provide dates and locations.

a. Books.

b. Article-length publications. Distinguish by type: book chapters, articles in refereed journals and invited articles, bulletins, proceedings, transactions, abstracts, book reviews, non-refereed articles, etc.

c. Papers or lectures. Distinguish by type: papers at professional meetings, invited lectures, etc.

d. Exhibitions. Distinguish between juried or invitational shows; identify work(s) and juror (juries); indicate regional, national, or international exhibitions.

e. Performances. Distinguish between local performances, out-of-town invitationals, concert series, etc. List musical compositions here.

f. Patents and inventions.

g. Other research/creative contributions.

h. Grants and contracts. Note all co-authors, identifying the principal investigator and the involvement of the candidate; indicate funding source and amount. Distinguish between grants received and grants applied for but not funded. (Note: internal support and NEH and NEA fellowships should be listed under Honors and Awards above.)

i. Description of candidate's scholarly program. Work in progress and work anticipated should be described in no more than one page.

3. University Outreach

The purpose of this section is to document achievement in outreach scholarship. It is divided into two parts. Part 1 is a reflective commentary on the candidate's outreach program or programs. It is intended to highlight and explain the candidate's most significant contributions. Part 2 is a list of all of the candidate's outreach activities and products.

1. Commentary. The commentary should describe and explain the scholarship involved in one or more outreach programs that you consider the major achievements of your efforts. A program is a set of activities that share a common focus and depend upon a particular expertise. The entire commentary is limited to five pages, single spaced. Each program should include the following.

a. Description. Provide a brief overview of the needs addressed, the objectives, methods, and target audience. Describe selected activities and/or products from Part B that are most illustrative of the candidate's contribution to this program. Include example in the portfolio.

b. Mission. Indicate how the program was compatible with university and unit missions.

c. Scholarship. Describe the role of the candidate's professional expertise in the design and execution of the program. Describe how the activities applied the candidate's discipline to the needs of society, required integration with other disciplines, and/or generated new knowledge for the discipline and/or audience. Explain how this knowledge was communicated to broader audiences. Indicate how the program led to increased recognition of the candidate's professional expertise by external audiences. Indicators would include requests for information, invitations to make presentations, service on review panels, receipt of contracts, grants, and professional awards, etc.

d. Impact. Describe observed impacts and/or explain any unobserved impacts that are to be expected according to the discipline(s) applied. Identify the direct and indirect beneficiaries. Evidence of impact can include both quantitative results (e.g. changes in test scores, increased crop production, or widespread adoption of a product or technique) and qualitative results (e.g. testimonials from clients, reviews by knowledgeable scholars/critics).

2. Activities and Products. List activities and products using the categories outlined below. There is no page limit on Part B, but candidates are encouraged to be concise in order to focus reviewers' attention on the most important contributions. In particular, numerous activities or products of the same type should be summarized to the extent possible. Brief descriptions accompanied by examples and totals will suffice. See the example of Professor X in Appendix A (see Faculty Handbook, Chapter 3).

a. Instructional activities. List the title or subject of each distinct course or presentation, the type (curriculum, course, workshop, exhibit, etc.), the duration (usually in hours), the candidate's role in creating (developer, presenter), the target audience, the method of reaching the audience (conference presentation, telecommunications, site visit, etc.) and the number of presentations given.

b. Technical assistance. List each type of assistance (e.g. job classification), the clientele, the contribution, and the number of times provided.

c. Outreach publications. Distinguish by type as indicated in paragraphs B1-B3 above: books (including published manuals and reports), article-length publications, papers and lectures. Provide complete publication data, including number of pages, names of all authors in correct order, and percentage of candidate's contributions. Indicate all refereed or peer-reviewed publications.

d. Electronic products: computer programs, web sites, etc.

e. Other outreach products: videos, job aids, etc.

f. Copyrights, patents, and inventions.

g. Contracts, grants, and gifts.

D. Service

1. University Service: Distinguish among service to the University, to the college/school, and to the department. University service as part of a previously held position may be listed here. Administrative work which reduces the candidate's teaching or research assignment should be listed here.

2 Professional Service: Service to professional associations and learned societies such as offices held, committees served on, etc.

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D. Information to be Supplied by the Department Head/Chair or Unit Head

Information should be supplied in each of the following areas:

1. Teaching

2. Research/Creative Work

3. University Outreach

4. Service

Statement as to how the level of support (dollars, personnel, space, etc.) provided to the candidate compares to others engaged in similar work in the department.

5. Outside Referees

The department head/chair or unit head (or the dean) shall solicit information from outside referees in the case of candidates nominated for associate research professor and research professor. In consultation with the candidate, the head/chair or unit head (or dean) shall compile a list of potential evaluators. He/she shall then seek responses from at least three of the potential evaluators. These evaluators shall be people outside of Auburn University who are nationally acknowledged experts in the candidate's field and can comment on the quality and reputation of the candidate's work. If the evaluator is from an academic institution, he/she shall be of higher academic rank than the candidate. Letters from the candidate's major professor for a graduate degree, from former graduate students, and from ongoing research partners and past collaborators are unacceptable. Evaluators may be associated with industry, government agencies, foundations, etc. Letters must be part of the file.

6. Consideration of the Candidate and the Department/Unit's and Dean's Recommendation

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E. Consideration of the Candidate

The candidate's dossier (consisting of the information supplied by the candidate and the information supplied by the department or unit head) and supporting material shall be available for review exclusively by faculty eligible to vote on the candidate. After the faculty has had time to review the dossier and supporting material, the department head shall convene a meeting of all eligible faculty to discuss nomination of the candidate.

Confidentiality and the right of faculty members to express their viewpoints openly without fear of retaliation shall be the hallmarks of the discussion. Department or unit deliberations shall be confidential to the extent permitted by law, as shall all documents and testimonies involved at the various levels of the promotion process. If a recommendation is forwarded, all copies of a candidate's dossier shall be destroyed after the Promotion and Tenure Committee's deliberations are completed except for the copy filed permanently in the Office of the Provost. This copy is subject to legal review only under certain conditions.

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F. The Department/Unit and Dean's Recommendation

After the candidate has made a presentation of his or her credentials if he or she so wishes, and after the faculty eligible to vote have had time to discuss the candidate's qualifications in a closed meeting, a secret ballot shall be taken at the meeting of eligible faculty to determine the final recommendation of the faculty. Faculty members may participate in the promotion recommendation in one of the following ways:

- a. present and voting,
- b. present and abstaining,
- c. absent but submitting a written vote prior to the meeting, or
- d. absent and not voting (This response does not count as part of the total vote.).

If of appropriate academic rank and status, the department /unit head shall vote by secret ballot with the faculty. Any other faculty member serving as an administrator who has an official vote on the candidate at a higher administrative level shall excuse himself or herself at the department/unit level. Faculty members who serve in an advisory capacity at the school, college, or University level may vote at the department/unit level but at higher levels shall excuse themselves from decisions on candidates from their departments. Immediate family members shall excuse themselves from voting.

The department/unit head shall announce the vote at the meeting. The vote shall be transmitted itemized as a, b, c, and d as listed above in writing, first to the dean of the candidate's college or school and the College Committee, then to the Promotion and Tenure Committee along with the other information requested in this document.

The department/unit head and the dean shall communicate the department/unit's and the dean's/College Committee's recommendation respectively to the candidate so that the candidate can make an informed decision about whether or not to continue with the process of seeking promotion. If the candidate wishes to continue the process despite a negative recommendation, the department head and dean shall honor the candidate's request.

The department head and the dean shall provide a written evaluation of the candidate and a recommendation for or against promotion. Faculty members too should be encouraged to write letters explaining why they do or do not favor promotion. Where there are fewer than three faculty members in a department or unit who are eligible to write letters of evaluation, the head may ask for letters from faculty members in other departments who have knowledge of the candidate's professional performance. Letters should address the quality of research/creative work and the candidate's potential for continued work, teaching effectiveness, effectiveness in the area of extension, service contributions and, the matter of collegiality.

Faculty should bear in mind that letters to the Promotion and Tenure Committee are an important source of information for the Committee. Letters can help the Committee to make an informed judgment about the

candidate's collegiality by addressing the candidate's performance of his or her duties within a department. Letters can also help the Committee, whose members may not come from the candidate's field, understand the significance of the candidate's work and make a fair appraisal of it.

Normally, evaluative letters should be addressed to the department/unit head; however, such letters may be submitted directly to the dean/College Committee or to the Promotion and Tenure Committee. Department heads and deans shall submit all letters of evaluation that are submitted to them.

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G. Submission of the Candidate's Dossier

The dossier should present the information clearly and legibly. A 12 point font and one inch margins are required. Tabs should be placed to mark the sections.

Fifteen copies of each dossier and evaluative letters shall be submitted for each candidate. Copies must be of good quality. These copies shall be sent to the candidate's dean to be evaluated at that level and then sent on to the Promotion and Tenure Committee. These copies are to be collated into complete packets, each fastened with a spring clip, each section arranged with tabs as follows:

1. Standard biographical data sheet.
2. Information supplied by the candidate.
3. Information supplied by the department head/chair or unit head.
4. Evaluations and recommendations from:
 - a. the dean,
 - b. the department head/chair or unit head,
 - c. the director of any relevant funding source (e.g., the Alabama Cooperative Extension System, the Alabama Agricultural Experiment Station, the Scott-Ritchey Research Center, etc.),
 - d. faculty members, and
 - e. outside referees.

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H. Schedule

Nominations for promotion shall be transmitted to Promotion and Tenure Committee by the deadline. The specific date shall be announced in the annual call for nominations from the Provost. The candidate's dean shall request material early enough to make a recommendation to be forwarded with the candidate's dossier.

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J. University Level Review and Recommendation and Notification of the Candidate

The Promotion and Tenure Committee shall review each candidate's dossier. Should additional material be needed, the committee shall contact the candidate's department head/chair or unit head or dean. The committee shall vote by secret ballot whether or not to recommend the candidate for promotion. Deliberations of the Committee and the Committee's vote shall remain confidential. The Committee shall send its recommendation along with the candidate's dossier to the President for final action.

When the President approves a recommendation for promotion, the candidate shall be notified in writing by the President, with copies of the notification to the department head/chair or unit head, dean, and Provost. When the President does not approve a candidate's recommendation for promotion, the candidate shall be notified in writing by the President. Copies of the notification shall also go to the department head/chair or unit head and dean. If the candidate so requests, he/she shall be informed of the numerical vote and provided with a written statement of reasons why the recommendation was not approved. If the President overrules a recommendation, he/she shall inform the Promotion and Tenure Committee in writing within a month's time of the overruling and the reasons for it.

Candidates considered for promotion on the schedule noted above shall be notified of the decision no later than the end of spring semester. A list of newly promoted faculty shall be made public by the end of summer term.

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K. Appeal of Promotion Decisions

Grounds for appeal exist when, in the opinion of the candidate, one or more of the following occurred:

1. The denial of promotion resulted from the fact that all evidence in support of the candidate was not presented at the time of the original consideration.
2. The denial resulted from procedural irregularities concerning advisement and periodic review or a failure to follow promotion procedures of the department, college, school, or University.
3. The denial was based significantly on considerations violative of academic freedom.
4. The denial was based significantly on discrimination with respect to race, sex, religion, national origin, age, physical handicap, marital status, or sexual orientation.

A faculty member who contends unjust denial of promotion may choose to discuss the reasons for denial and the appeals process with the Provost. Appeals should be made in writing to the Provost through the department head/chair or unit head and dean within 14 calendar days of the date of the faculty member's receipt of written notification of denial.

If the faculty member bases his/her appeal on alleged violation of academic freedom or discrimination, the appeal must include a statement of the grounds on which the allegation is based and evidence to support his/her case. If the faculty member succeeds in establishing a *prima facie* case, it is incumbent upon those who made the decision against continuation to come forward with evidence in support of their decision. Statistical evidence of discrimination may be used by the candidate in establishing a *prima facie* case.

The Provost shall respond promptly to the faculty member's appeal by forming an Appeals Committee and setting the date, time, and place for the hearing of the appeal.

The Appeals Committee shall be comprised of the following:

1. Current members of the Promotion and Tenure Committee, and
2. Three additional faculty members who have recently served on the Promotion and Tenure Committee, none from the appellant's department. Each year the Provost will appoint these additional members and one alternate, who will substitute for one of the additional members if an appellant is from his/her department.
3. At least one member of the Appeals Committee shall be a non-tenure track faculty when the appellant is a non-tenure track faculty.

After the merit of the appeal has been judged, the recommendations of the Appeals Committee and all supporting documents shall be submitted to the Provost who will submit the body of the material to the President for a final decision.

In the appellate process, appeals must be taken and decisions rendered so as to prevent postponing a promotion decision to the next year.

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L. Terms and Continuation of Appointment

Although it has been the custom of the University for faculty appointments to be continued by mutual commitment and understanding rather than by formal contracts, research faculty will be appointed with written contracts. The following principles outline the policy on continuation of the contract for research faculty members.

An assistant research professor shall be appointed with a one year contract that may be renewed annually but not to exceed six years or, if for a lesser period of time, the period of funding from the contract, grant, or other designated funds. Renewal is contingent upon funding being available and upon performance. An assistant research professor is therefore limited to six years under contract. An associate research professor or a research professor shall be appointed with a one year contract that may be renewed annually or, if for a lesser period of time, the period of funding from the contract, grant, or other designated funds.

Associate research professors and research professors shall be appointed with a one year contract that may be renewed. All department heads and unit heads shall conduct at least one yearly review with each faculty member to evaluate his or her performance and to discuss his or her future development. In order to review the faculty member fairly, the head shall request a current vita and any supporting material the head or the faculty member deems appropriate prior to the review. More frequent reviews may be conducted at the discretion of the faculty member or the department head.

The initial letter of appointment should clearly define the length of the appointment, benefits, and duties/responsibilities. The offer letter should make clear that continuation of appointment is subject to the availability of funds, the need for services, and satisfactory performance. Language that speaks to continuation beyond the initial appointment should include specific conditions. For example, the research grant or contract from which the research faculty is to be paid may be for multiple years, but rarely is funding for subsequent years guaranteed. Letters containing promises not consistent with the research title procedures are not enforceable unless authorized in writing by the President of Auburn University.

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M. Dismissal

Termination of a research faculty member during the contract term, shall be effected by the University only for lack of research funding, or adequate cause, including but not limited to lack of collegiality and unprofessional research behavior. If termination during the contract term is for other than for lack of funding, then the Faculty Handbook (Chapter.3) provides that "Rights of due process shall also apply to a non-tenured faculty member dismissed before completion of his or her contractual term." Dismissal shall not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.

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N. Noncontinuation of Appointment

Normally, the termination of an associate research professor or a research professor would be effected by the university only for lack of research funding, adequate cause or inappropriate research behavior or unprofessional conduct. The expectation of continuous employment provides the guarantee needed to insure academic freedom. However the contractual period for faculty in the research title series is 12 months and the university retains the right to continue or noncontinue a faculty member in the research series. If a research faculty member whose contract is not to be renewed so requests, he or she shall be provided with a written statement of reason why the contract is not to be renewed. In order to insure that noncontinuation is not used to restrain faculty members in their exercise of academic freedom, an employee in the research non-tenure track ladder is afforded the opportunity to appeal his/her noncontinuation to the Faculty Grievance Committee or by following the Scientific Misconduct procedure as outlined in the Faculty Handbook.

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O. Graduate Faculty

A faculty member on appointment in the research title series may be proposed, recommended, and approved for membership in the Graduate Faculty as provided in the Faculty Handbook. If an appointee in the research title series is approved for membership, the individual's participation as a member of the Graduate Faculty shall be limited to directing graduate theses and dissertations and to serving on committees appointed by the Dean of the Graduate School.

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P. Conditions of Employment

A faculty member on appointment in the research title series is eligible for benefits as provided in the Faculty Handbook or other applicable University policies, except tenure and professional improvement leave. University contributions toward retirement, social security, annual and sick leave, and insurance benefits for the faculty member shall be covered through the contract, grant, or other designated funds which provide support for the individual's position.

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Q. University Membership

A research faculty member shall be eligible to vote on all faculty matters, including faculty appointment and promotion but not on tenure. A research faculty member may vote on and/or be elected the department's

representative in the University Senate.

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R. Change from Non Tenure Track to Tenure Track Faculty

If the appointment of a faculty member is changed from the research title series to tenure track faculty through normal, faculty approved, tenure track hiring, years of service while on appointment in the research title series will be treated as full-time service in a faculty rank at another institution, as described in the faculty handbook under "Prior Service" in Chapter 3.

Approved by William V. Muse, President

January 19, 1999

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