

**LTRR FACULTY  
HANDBOOK**

August 2009

## Laboratory of Tree-Ring Research

### General procedures for faculty annual reviews:

1. All faculty complete a comprehensive annual report of all research, teaching and service encompassing the past calendar year and two previous years. Both the tenure eligible and non-tenure eligible faculty submit annual reports. The annual report is prepared in a prescribed format that everyone uses. The annual report includes a listing of percentage effort/time allocated to each of the three areas: research, teaching, service for each of the three years. These percentage amounts are identified each year in conference with the Director and the faculty member.
2. A three member LTRR faculty review committee, composed of tenured LTRR faculty (excluding the Director), receives and reviews all LTRR annual reports. Membership and chairing of this committee is rotated. The committee collectively assigns an evaluation to each of the categories (research, teaching, service) and to the overall performance based on the percentage weightings. The potential evaluation ratings are: *Unsatisfactory, Meets Expectations, Exceeds Expectations, Truly Exceptional*. The overall evaluation ratings of the faculty member's performance each year is weighted based upon the percentages assigned each year and the performance in each area. The committee also writes a short statement regarding the performance on the evaluation form. Faculty review committee members recuse themselves from the evaluation of their own reports and step out of the room.
3. The Director receives the LTRR faculty review committee evaluations. The Director reviews and evaluates each faculty member's performance based upon his/her reading of the annual reports and the LTRR faculty review committee's evaluation. Evaluation ratings are then assigned by the Director to each of the areas and the overall performance, and a short summary statement is written.
4. The Director meets with each faculty member, and the reviews and evaluations by the LTRR committee and the Director are discussed. The faculty member has the opportunity to add a statement to the annual review form. Percentage weighting for the areas of research, teaching, service are set for the coming calendar year in agreement between the Director and faculty member. Both the Director and the faculty member sign the evaluation form and copies are made, distributed, and filed.

LABORATORY OF TREE-RING RESEARCH  
The University of Arizona  
Tucson, Arizona 85721 USA

**POLICY ON PROMOTION AND TENURE**  
**Tenure-Eligible Faculty**

1. Criteria

Policy governing appointments and promotion for tenure-eligible faculty in the Laboratory of Tree-Ring Research (LTRR) are based on the general standards of the scholarly community with due consideration given to the unique nature of the LTRR and the special requirements of the discipline of dendrochronology. The multidisciplinary scope of dendrochronology necessitates a faculty of unusually diverse backgrounds and interests.

The following criteria will be used in matters of promotion and tenure:

- ❑ Appointment of an Assistant Professor will be based mainly on the candidate's promise, adequate training, depth of knowledge in a particular specialty, and capacity to undertake high quality research and teaching. It is expected that Assistant Research Professors will initiate externally funded, relevant research programs and will regularly communicate their knowledge and findings through publications, presentations, and other forms of scientific communications.
- ❑ Promotion to or appointment at the Associate Professor level will require evidence of a substantial accomplishment in research and teaching combined with good performance in the service area, and clear indication of potential for future growth. Such an individual should be known at the state and national level for his or her particular expertise, and should have shown significant progress towards achieving international stature and should contribute to the departmental program in a significant fashion. .
- ❑ Promotion to full Professor rank recognizes the Associate Professor's stature as an international authority in their field, having accomplished highly creative research and effectively communicated the results, as well as their contributions to university, professional or related public affairs, and their excellence as a teacher. Such an individual must have achieved national and international recognition, should show evidence that this will continue and should bring distinction to the LTRR.

Participation in departmental, college or University affairs and involvement in professional organizations is encouraged at all faculty levels.

## 2. Procedures

The general procedures adopted are those determined by the University in the Handbook for Appointed Personnel (particularly UHAP sections 3.08, 3.11, 3.13 and 4), and agreed within the College of Science (College of Science Promotion and Tenure Guidelines).

The LTRR standing committee on Faculty Status will consist of all tenured professors who are members of the faculty of the Laboratory of Tree-Ring Research and nontenure eligible Research Professors.

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**POLICY ON APPOINTMENT OR PROMOTION  
Tenure-Eligible Faculty**

	<b>Associate Professor</b>	<b>Professor</b>
<b>Research, Scholarly/Creative Activity:</b>	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.	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.
<b>Teaching</b>	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.
<b>Service/Outreach</b>	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.	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.

## **LTRR Policy and Procedures for Establishing Joint, Adjunct, and non-tenure track Research Professorships, Promotions, and Continuing Status**

### Joint Professorships

The purpose of these appointments is to establish a formal institutional association between the LTRR and University of Arizona faculty who already hold primary appointments in other departments. This association is intended to recognize and foster substantial participation and collaboration in research, teaching, or service in LTRR by the jointly appointed faculty member. These appointments may also establish or strengthen collaborations between LTRR and the home departments of the joint faculty.

Joint appointment professors in LTRR may be invited (but not required) to attend faculty meetings and other LTRR events. They may participate in faculty discussions and, at the discretion of the *core faculty*<sup>1</sup>, to vote on faculty decisions.

The process for appointing Joint Professorships (at Assistant Professor, Associate Professor, or Professor level) will be as follows:

1. A minimum of two LTRR faculty members will nominate the person for a joint appointment. The nomination will be discussed at an LTRR faculty meeting, and the faculty will decide whether to proceed with an invitation to the faculty member.
2. The Director will issue the invitation to the faculty member to submit an application, which will consist of a *letter of interest* and a current *curriculum vitae*.
3. The remaining procedures will follow the College of Science guidelines (see attached Joint Appointment Process Guide, Sample Letter to CoS Dean, and Checklist). Note that the decision step will involve all core faculty as to whether or not to make the appointment, and the appropriate level (i.e., Assistant Professor, Associate Professor, or Professor).
4. A Joint Appointment in LTRR will be reviewed at least every five years by the faculty, and the faculty will decide whether to continue the Joint Appointment, and at what level (i.e., Assistant Professor, Associate Professor, or Professor). The criteria for promotion will be the same as for promotion of tenure-track faculty in LTRR (see LTRR Policy on Promotion and Tenure, December 2002).

### Adjunct Professorships

The purpose of these appointments is to establish a formal institutional association between the LTRR and colleagues who are not employed by the University of Arizona, or colleagues who are employed by the University of Arizona, but not in a regular faculty position (state funded line). This association is intended to recognize and foster substantial participation and collaboration in research, teaching, or service in LTRR by the Adjunct faculty member.

Description of duties, responsibilities and expectations for non-tenure track faculty in the Laboratory of Tree-Ring Research:

Persons working in this position are expected to carry out sustained scholarly activity in one or more areas, to secure external funding for their research programs, and to publish in national and international journals. Depending upon relative proportions of time allocated to research, teaching and service as directed and agreed with the Director of LTRR, they will also lead or assist in teaching of courses, seminars or workshops, mentoring of graduate students, and training and instruction of visiting scholars. Likewise, depending upon time allocations as directed and agreed upon, they may engage in service activities for the LTRR, UA, state, federal or international entities. In general, this non-tenure track faculty position is primarily focused on research with a majority of time allocated to this endeavor. However, substantial portions of allocated time (up to 49%) may be focused on service duties and/or teaching. The service duties may primarily include work within the LTRR, and teaching may include workshops and other instruction off campus.

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**POLICY ON PROMOTION**  
**Nontenure-Eligible Faculty**

1. Criteria

Policy governing appointments and promotion for nontenure-eligible faculty in the Laboratory of Tree-Ring Research (LTRR) is based on the general standards of the scholarly community with due consideration given to the unique nature of the LTRR and the special requirements of the discipline of dendrochronology. The multidisciplinary scope of dendrochronology necessitates a faculty of unusually diverse backgrounds and interests.

The specific titles for nontenure-eligible faculty in the LTRR are:

Assistant Research Professor  
Associate Research Professor  
Research Professor

The following criteria will be used in matters of appointment and promotion:

- Appointment of an Assistant Research Professor will be based mainly on the candidate's promise, adequate training, depth of knowledge in a particular specialty, and capacity to undertake high quality research. It is expected that Assistant Research Professors will initiate externally funded, relevant research programs and will regularly communicate their knowledge and findings through publications, presentations, and other forms of scientific communications. Contributions to LTRR's mission in teaching and service are encouraged. The actual amount of time spent on these endeavors will depend on agreement with the Director and as specified in faculty annual reports.
- Promotion to or appointment at the associate professor level will require evidence of substantial accomplishment in research and clear indication of potential for future growth. Such an individual should be known at the state and national level for his or her particular expertise, and show significant progress towards achieving international status and should contribute to the departmental program in a significant fashion. The amount of teaching and service will be determined in the same manner as described for Assistant Research Professors, and in granting promotion the accomplishments in these areas may be considered and weighted based on the percentage effort (as specified in annual reports) devoted to these endeavors..



- Promotion to full professor rank recognizes the Associate Research Professor's stature as a recognized international authority in their field, having accomplished highly creative research and effectively communicated the results, as well as their contributions to university, professional or related public affairs. Such an individual must have achieved national and international recognition through peer organizations and should bring distinction to the LTRR. As in the case of promotion from Assistant to Associate (described above), granting promotion to full Professor may consider accomplishments in teaching and service and will be weighted based on the percentage effort (as specified in annual reports) devoted to these endeavors.

## 2. Procedures

The process for appointments or for granting promotion of nontenure-eligible faculty in LTRR will substantially follow the same process established for tenure-eligible faculty by the University in the Handbook for Appointed Personnel (particularly UHAP sections 3.08, 3.11, 3.13 and 4), with the exceptions noted below.

The LTRR standing committee will review appointment or promotion packages. These materials will be of the same format and content as required for tenure-eligible faculty. The LTRR standing committee will make a recommendation to the Director of LTRR. The Director, the Dean of the College of Letters, Arts & Sciences, and the Provost will review and approve/disapprove the appointment or promotion.

The LTRR standing committee on Faculty Status will consist of all tenured professors who are members of the faculty of the Laboratory of Tree-Ring Research and non-tenure-eligible Research Professors.

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**POLICY ON APPOINTMENT OR PROMOTION**

**Nontenure-Eligible Faculty**

	<b>Associate Professor</b>	<b>Professor</b>
<b>Research, Scholarly/Creative Activity:</b>	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.	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.
<b>Teaching</b>  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:	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.
<b>Service/Outreach</b>  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:	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.	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.

Adjunct professors in LTRR may be invited (but not required) to attend faculty meetings and other LTRR events. They may participate in faculty discussions and, at the discretion of the core faculty, to vote on faculty decisions.

The process for appointing Adjunct Professorships (at Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor level) will be as follows:

1. A minimum of two LTRR faculty members will nominate the person for a Adjunct appointment. The nomination will be discussed at an LTRR faculty meeting, and the faculty will decide whether or not to proceed with an invitation to the nominee.
2. If the decision is to proceed, the Director will issue an invitation to the nominee to submit an application, which will consist of a *letter of interest* and a current *curriculum vitae*.
3. The LTRR faculty will review the application and decide whether to proceed or not with the appointment, and if so, the level (i.e., Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor level).
4. If the decision is to proceed, the nominee will fill out a UA Affiliate/Associate Form and this will be submitted to the Office of the Provost (see attached Guidelines for Associates, Affiliates and Volunteers, and related forms.)
5. An Adjunct Appointment in LTRR will be reviewed at least every five years by the faculty, and the faculty will decide whether to continue the Adjunct Appointment.
6. Promotion of an Adjunct appointee to a higher rank (i.e., Adjunct Associate Professor or Adjunct Professor) may be considered on request of the appointee, or may be initiated by any of the LTRR core faculty. The criteria for promotion will be the same as for promotion of tenure-track faculty in LTRR (see LTRR Policy on Promotion and Tenure, December 2002).

#### Non-Tenure Track Research Professorships

The purpose of these appointments is to recognize and foster collaboration with LTRR colleagues as *core faculty members* who are not employed in a regular, tenure-track faculty position.

1. A minimum of two LTRR faculty members will nominate the person for a Research professor appointment. The nomination will be discussed at an LTRR faculty meeting, and the faculty will decide whether or not to proceed with an invitation to the nominee.
2. If the decision is to proceed, the Director will issue an invitation to the nominee to submit an application, which will consist of a *letter of interest* and a current *curriculum vitae*.
3. The LTRR faculty will review the application and decide whether to proceed or not with the appointment, and if so, the level (i.e., Assistant Research Professor, Associate Research Professor, or Research Professor level).

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4. Promotion of a Research professor appointee to a higher rank (i.e., Associate Research Professor or Research Professor) may be considered on request of the appointee, or may be initiated by any of the LTRR core faculty. The criteria for promotion will be the same as for promotion of tenure-track faculty in LTRR (see LTRR Policy on Promotion and Tenure, December 2002).

<sup>1</sup>For the purpose of this document and policy, the term *core faculty* means: the tenure and non-tenure track professors with primary appointments in the LTRR, who are primarily employed at the LTRR, and who perform as principal investigators and are generally included in faculty discussions and decisions.

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**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.

## **Off-cycle Review of Promotion and Tenure & Continuing Status and Tenure**

In exceptional circumstances, due to retention or pre-emptive situations, it may be necessary for department and colleges to review cases for promotion and tenure/continuing status and promotion outside the normal University review schedule. The Department Head, with the endorsement and approval of the College Dean must seek permission from the Executive Vice President and Provost or his/her designee to initiate a candidate's promotion and tenure review outside the normal University review cycle. The Department Head and College Dean must articulate the circumstances prompting the request for an off-cycle review.

Having received permission to conduct an off-cycle review, both the Department and the College must follow their normal review process for reviewing promotion and tenure/continuing status and promotion. This includes requesting and providing the requisite number of letters from external reviewers as set forth in the University of Arizona P & T and CS & P guidelines.

The College forwards the recommendations and appropriate documentation to the Associate Vice Provost for Faculty Affairs. The Associate Vice Provost for Faculty Affairs, together with the Executive Vice President and Provost will determine the final outcome of the review.

The agreement to offer Expedited Reviews is not to be included in letters of offer to potential hires. Only the Executive Vice President and Provost or his/her designee can approve the initiation of a candidate's promotion and tenure review outside of the normal University review cycle.

<http://facultyaffairs.arizona.edu/promotion>