College of Letters & Science
Appointment and Promotion Guidelines

Research Professor Titles:
Assistant Research Professor, Associate Research Professor,
Research Professor

A. Introduction

The purpose of this document is to: (1) provide general guidelines for UW Madison College of Letters and Science departments/units to use when considering recruitments, appointments, reappointments, and promotion of employees within the Research Professor track (all levels); and, (2) broadly describe the criteria and procedures for such appointments, reappointments, and promotions. Departments/units shall adapt this approach and create specific written and published guidelines/metrics for Research Professor appointments (all levels) in order to best meet their needs.

Each department/unit should develop a process for establishing and evaluating Research Professor titles (all levels) that fits within the guidelines outlined in this document, unless the title series is not appropriate for use in a particular unit. Any exception from these guidelines requires prior approval from the Dean.

Research Professor is a non-tenure track title series that allows and recognizes focused research effort. Members of the Research Professor track are expected to focus on research, including leadership of the scientific and technical aspects, pursuit of intramural and/or extramural funding, and compliance with all financial, ethical, and administrative aspects of the research.

Independent research in the department/unit must comprise the majority (at least 50%) of Research Professors' (all levels) activities, and those activities should have clearly identified sources of funding. It is expected that Research Professors (all levels) will obtain intramural and/or extramural funding to support the major components of their portfolio.

These expectations distinguish the Research Professor track from other title series, such as Scientist and Researcher, who are not required to seek, execute, and lead their research program. While independent funding does not automatically qualify employees for appointment to the Research Professor track, internal and/or external grants or other independent research funding are generally required to fund the majority of the effort associated with these appointments.

In some units, the Research Professor track will be used to develop specific independent research program needs for that unit. This track is not intended to be a mechanism for recognizing outstanding performance by individuals in other academic staff positions, should not supplant current promotion or recognition systems that are in place (e.g., promotion in the Scientist track), and should not be used for personnel who provide a predominantly service or teaching function. The Research Professor track should not be used as a substitute for tenure-track faculty appointments.

B. Governance

Employees appointed or promoted into the Research Professor titles are considered academic staff. Therefore, the UW-Madison Academic Staff Policies and Procedures (https://acstaff.wisc.edu/resources/policies-and-procedures) apply to these appointments. Research Professors (all levels) are represented by the academic staff governance and have representation in the Academic Staff Assembly with the governance rights afforded them through Wisconsin State Statutes 36.09 (4m).

C. Track promotion

Research Professor track employees may enter at the Assistant Research Professor level, or any other level consistent with their experience and credentials.

A clock for promotion through the title series will not be prescribed. Employees may progress from Assistant to Associate to Full at a pace commensurate with their goals, achievements, and particular department/unit metrics. Assistant or Associate Research Professors may remain in those ranks indefinitely, as appropriate for a given employee.

D. Duties

Research Professor track employees are expected to conduct high quality, productive, and impactful research programs. All research programs must be performed with the highest level of academic integrity.

Research Professor employees are expected to seek and maintain independent research funding. Thus, Research Professors (all levels) are expected to serve as principal investigators (PI), and/or co-principal investigators (Co-PI, otherwise known as multiple-PI [MPI]) on research proposal submissions/ awards and do not require any additional or prior Department, College, or University-level approval to apply for grants.

Access to WARF funds (via Permanent PI status) is a separate application process available to Academic Staff (see Permanent PI status guidelines), including Research Professor track employees. Employees who held Permanent PI status prior to being appointed in the Research Professor track retain Permanent PI status.

Research Professors (all levels) may serve as PI on research protocol applications to compliance committees, if appropriate and if incorporated into the policies and procedures of individual compliance committees.

Research Professors (all levels) may not be assigned regular classroom teaching responsibilities, although occasional classroom activities may be acceptable. These occasional teaching activities may include lectures, seminars, workshops, or short-term course instructor responsibility and should not exceed 50% at any given time. For the period in which short-term classroom teaching duties are assigned, an instructional title will be required at an appropriate effort level, in addition to approval from the University Committee following the campus dual role policy. Research Professors (all levels) may provide laboratory-based teaching and mentoring of graduate students, and may serve on

graduate student committees, as consistent with Graduate School policies for academic staff committee members. Research Professors (all levels) may serve as graduate student primary advisors but this designation requires prior approval by L&S (also see Graduate School guidelines; FP&P 3.05H). Research Professors (all levels) may mentor undergraduate student independent study experiences as described here: https://kb.wisc.edu/page.php?id=36263 . Additional limits and restrictions may be created at the department/unit level.

Research Professors (all levels) are not required to perform service activities unrelated to research, but may participate on research-related committees, compliance committees (such as the IRB, SCRO, or IACUC), and oversight committees for research core or other research-focused facilities.

E. Appointment and Promotion Committee

Each department/unit using the Research Professor title series must establish an Appointment and Promotion Committee. The composition and policies of each Committee should be described in a document created by the department/unit.

For any case that comes before the departmental committee, additional input may be sought and obtained from UW faculty or Research Professors who are subject-matter experts outside of the department/unit.

The department/unit Executive Committee will consider requests and make recommendations for appointments and promotion. The department/unit Chair/Director will forward requests and make recommendations to grant or deny appointments and promotions to the College. Requests should be sent to the Director of L&S Human Resources who will distribute the request to the L&S Research Professor Review Committee.

The Dean or designee has authority to grant all appointments and promotions within the Research Professor track in the College of Letters & Science. Requests will be reviewed by the L&S Research Professor Review Committee which is comprised of the Academic Associate Dean, Associate Dean for Research, & Human Resources representative. For any appointment or promotion case that comes before the committee, additional input may be sought and obtained from UW-Madison faculty or academic staff who are subject-matter experts.

F. Mentoring/Oversight Committee

A mentoring/oversight committee of at least 2 persons shall be established when an Assistant Research Professor is appointed. It may continue or be dissolved upon promotion to Associate Research Professor, based on policies established within the department/unit. The function of the mentoring/oversight committee is to encourage the professional development of the Research Professor, to suggest resources when needed to further research aims, to assist in removing barriers when they are encountered, to advocate for the Research Professor when needed, and to ensure that reasonable progress is made in their emerging research careers. A mentoring/oversight committee chair should be designated as determined by the department/unit Chair/Director. The committee should strive to include tenured faculty and Research Professors at a level of

Associate or above and faculty in other tracks (e.g., Clinical Health Sciences [CHS]) at the level of Associate or above, as appropriate. If beneficial to the Research Professor and/or the committee, UW faculty/staff outside of the department/unit who have appropriate subject matter knowledge of the employee's research interests may also be recruited to serve on the mentor committee. The mentoring/oversight committee is responsible for ensuring, guiding, and evaluating progress of the Research Professor.

G. Research Space

For all Research Professor levels, there must be a written plan developed and implemented that is consistent with the research space allocation policies within the department/unit. Funding for research space allocation, remodeling, and maintenance must be arranged by the department/unit. Research space assignments should be appropriate for the scope of work of the Research Professor (all levels). Appropriate research space is an essential component of a successful research program.

H. Department/Unit Funding Responsibilities

The department/unit must fund at least 5% of a Research Professor's (all levels) salary from non-supported resources, in all appointment years, to cover effort related to proposal writing. In addition, any start-up costs for Research Professors are solely the responsibility of the department/unit. Departments/units should also carefully consider availability of resources and their financial responsibility to the Research Professor in the event that extramural research funding is not consistently sustained and/or bridge funding mechanisms to cover program costs when external grant timelines are not aligned. A detailed plan confirming their financial responsibility should be included with the appointment/promotion request.

I.   Performance Review and Reappointment

Research Professors (all levels) are appointed with the expectation that they will work toward the goals broadly outlined in this document. Research Professor track employees are expected to demonstrate high quality research standards, integrity, and impact of the research program activity.

Performance reviews of Research Professor track employees must be completed annually in accordance with policies applicable to UW Academic Staff. Performance reviews for Assistant Research Professors will be completed by the Mentoring/Oversight Committee and reported to the department/unit Chair/Director. Performance reviews of Associate Research Professors and Research Professors will be performed by a committee established by the department/unit Chair/Director. Actions regarding non-renewal, layoff, or termination follow UW-Madison Academic Staff Policies and Procedures (https://acstaff.wisc.edu/resources/policies-and- procedures) for these appointments.

J. Appointment & Promotion Process

Specific guidelines, processes, and metrics will be developed and published for each level by each department/unit. The guidelines, processes, and metrics should be consistent

with the overall framework presented in this document and must be sent to the College for review and approval. Amendments/modifications to approved department guidelines and metrics must also be approved by the College.

The Dean or designee has the authority to approve appointments and promotions within the Research Professor track. All letters of appointment will be approved using standard L&S HR practices, and will have content that follows existing Academic Staff policies and procedures.

Any individual in the Research Professor track (all levels) may apply for an open tenure-track position without prejudice or preference. Similarly, Research Professors (all levels) may apply for open academic staff positions without prejudice or preference.

1. **Appointments**

   Review of a candidate's credentials for hire or promotion at all Research Professor levels will be performed by the department/unit Executive Committee (where applicable) and a department/unit committee charged with these reviews, with additional input from faculty and researchers outside of these committees, if desired. All committee deliberations must be in accordance with guidelines presented in this document and guidelines established by the department/unit.

   For appointment at all levels, the review committee recommendation will be routed to the Department Executive Committee (where applicable) for consideration and then forwarded by the Chair/Director to the L&S Human Resources Director for consideration, and review by the Dean or designee who has final approval of appointments and promotions at all levels. A credential dossier must be developed to begin the appointment process for the Research Professor track (all levels).

   Appointments may be part-time (less than 100% time and effort). The minimum time and effort can be determined by the appointing department/unit. At least 50% of total time/effort must be devoted to independent research.

2. **Promotions**

   Research Professors at the Assistant or Associate levels may put themselves forward for promotion with consultation with the mentoring/oversight committee (Assistant) or department/unit Chair (Associate). Criteria must be met to consider a recommendation of promotion to the next level. The department/unit will develop guidelines concerning the format and content required in a promotion dossier. The department/unit review committee will evaluate specific cases and make a recommendation to the department/unit Executive Committee. The Executive Committee decision will be forwarded by the Chair/Director to the L&S Human Resources Director for consideration, and review by the Dean or designee who has final authority to grant all promotions within the Research Professor track in L&S.

   Appointments may be part-time (less than 100% time and effort). The minimum time and effort can be determined by the appointing department/unit. At least 50% of total time/effort must be devoted to independent research.

Research Assistant Professors may remain at one rank throughout their career at UW-Madison. There is no "up or out" requirement for promotion.

3. Criteria & Dossiers

<u>Assistant Research Professors</u> must have an earned research doctorate (PhD) or other terminal degree in their field and should demonstrate the criteria that follow:

- An impressive emerging record of research products, and evidence of successful management and completion of stated objectives of previous research
- Strong potential for independent scholarly development
- Strong potential for continued acquisition of intramural and/or extramural funding as PI or Co-PI (otherwise known as Multiple PI, [MPI]).
- A productive academic record of peer-reviewed publications as primary and/or senior author or other recognized and impactful contributions to the field
- Evidence of participation in relevant academic or professional meetings
- A track record, mindset, and training in ethical research practices

<u>Associate Research Professors</u> and **<u>Research Professors</u>** must have an earned research doctorate (PhD) or other terminal degree in their field and should demonstrate the criteria that follow:

- An impressive, sustained record of impactful research products
- National (Associate Research Professor) or international (Research Professor) recognition within the candidate's discipline
- Successful, sustained management and completion of stated objectives of previous research
- Scholarly independence, where independence is based on the standard that defines independence in the respective department/unit
- Strong history of leadership in sustained extramurally funded research
- A strong and productive academic record of peer-reviewed publications as primary and/or senior author or other recognized and impactful contributions to the field
- Evidence of participation and leadership in relevant academic or professional meetings and societies
- A track record, mindset, and training in ethical research practices

A credential packet must be developed to begin the appointment/hire process for the **<u>Assistant Research Professor</u>** title. The appointment/hire packet must include:

1) A letter from the department/unit Chair/Director that describes:(a) Executive Committee vote (for, against, abstain); (b) alignment of the candidate's

credentials with all of the criteria noted in this document for the desired rank of appointment; (c) relevance of the candidate's research program to the research mission of the department/unit; (e) identification of an intramural and/or extramural funding source for the candidate's research; (e) identification of research space for the candidate's research program; (f) commitment of the department/unit to provide at least 5% of the candidate's salary to allow research proposal development effort, and a detailed plan confirming their financial responsibility to the Research Professor in the event that extramural research funding is not consistently sustained and/or if bridge funding mechanisms are necessary to cover program costs;

2) The candidate's CV;

3) One-page research statement from the candidate;

4) Three letters of recommendation solicited by the candidate.

A credential packet must be developed to begin the appointment/promotion process for the **Associate or Research Professor** title. The appointment/promotion dossier must include:

1) A letter from the department/unit Chair/Director that describes: (a) Executive Committee vote (for, against, abstain); (b) alignment of the candidate's credentials with all of the criteria noted in this document for the desired rank of appointment; (c) an analysis of the candidate's research impact and productivity, (d) dates of appointment at the Assistant or Associate title; (e) the importance of the research program to the department/unit research mission, and collaboration with others, if any; (f) identification of research space for the candidate's research program, if new hire; (g) commitment of the department/unit to provide at least 5% of the candidate's salary to allow research proposal development effort, and a detailed plan confirming their financial responsibility to the Research Professor in the event that extramural research funding is not consistently sustained and/or if bridge funding mechanisms are necessary to cover program costs;

2) Curriculum vitae: The candidate should include a summary statement noting contributions made since the initial appointment or prior promotion;

3) Research Statement: A 2-page statement by the candidate that describes and highlights the impact and significance of her/his research program;

4) Letters of Evaluation: The department/unit Chair/Director should request all letters. Four to six letters of evaluation must be obtained from national or international leaders in the candidate's research specialty area that address the scope and quality of the candidate's scholarly productivity and impact. At least half of these letters must be "arm's-length," in that the letter writer has no significant relationship or prior collaboration with the candidate, and no interest in the outcome of the pending appointment/promotion. Please include a copy of the letter or email used to request letters of evaluation. All solicited evaluation letters received must be included in the candidate's dossier.

Reviewer Table: Include a table of all reviewers solicited for letters of evaluation. Identify reviewers by whether letters were received, declined, or if no response was received to the request. Include the name, rank, and title of each solicited reviewer, the name of his/her institution and department, and a brief description of why the reviewer was solicited and his/her stature in the field. Indicate if the reviewer is designated as arm's length. If the solicited reviewer declined, please provide the reason given.

5) Examples of research products such as articles, software, etc., may be included with the dossier.

K. Appeals Process

If the department/unit recommends against appointment or promotion (either by the review committee or Executive Committee decision), the basis for the recommendation will be provided in writing by the review committee chair to the candidate, the candidate's department/unit chair and the Dean within 10 working days of the decision. When appropriate, an appeal of this decision by the candidate will follow standard process, as described in ASPP Ch.7.

If the department recommends appointment or promotion, but the request is denied by the Dean's office, the Dean's office will share with the unit the reasons for the decision within 10 working days of the recommendation. The department/unit chair may submit a final written appeal to the Dean within 20 working days upon receiving the denial. They should provide new or additional information and a response to the issues raised. Upon consideration of the appeal, the Dean may seek the advice of an ad-hoc committee before making the final determination.

APPROVAL AND GUIDELINES HISTORY

Approved by L&S Senior Staff on January 11, 2021