INTRODUCTION

The contractual specifications for the employment of non-tenure track faculty are detailed in the Collective Bargaining Agreement between the University of Connecticut Board of Trustees and the University of Connecticut Chapter of the AAUP. The Neag School of Education’s non-tenure track faculty includes both In-residence staff with the contractual privileges specified in Article 13, Members of the Unit Not in a Tenure Track, and staff members hired with the contractual privileges detailed in Article 26, Temporary Employees (see the Collective Bargaining Agreement).

These individuals are integral to the development and presentation of high quality programs for the preparation of pre-service educators and professionals in education, kinesiology, and physical therapy at both the undergraduate and graduate levels. In addition, they are essential to the development and outreach of the School’s premier programs and delivery of special service to the Neag School, to clients (e.g., through the Nayden Clinic), and to school systems with which they liaison (e.g., Professional Development Schools). The guidelines for the appointment, review, and promotion of Non-Tenure Track Faculty reflect the mission of the NSOE.

The purpose of this document is to present the Neag School of Education’s evaluation procedures for all non-tenure track faculty. More specifically, this document details the procedures and criteria for non-tenure track faculty to secure both reappointments and promotions.

PROCEDURES AND CRITERIA

Members of the Unit Not in a Tenure Track, Article 13 and Temporary Employees, Article 26

Per Article 13, titles for staff members in non-tenure tracks include

- Extension Professor
- Associate Extension Professor
- Assistant Extension Professor
- Extension Instructor
- Lecturer
- Academic Assistant
Faculty with In-Residence Titles:
Professor in Residence
Associate Professor In Residence
Assistant Professor In Residence
Instructor In Residence

Per Article 26, titles used for temporary, non-tenure track faculty in the NSOE include:

<table>
<thead>
<tr>
<th>Research Professor</th>
<th>Visiting Professor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Associate Research Professor</td>
<td>Visiting Associate Professor</td>
</tr>
<tr>
<td>Assistant Research Professor</td>
<td>Visiting Assistant Professor</td>
</tr>
<tr>
<td>Research Instructor</td>
<td>Visiting Instructor</td>
</tr>
<tr>
<td>Clinical Professor</td>
<td>Research Scientist</td>
</tr>
<tr>
<td>Associate Clinical Professor</td>
<td>Associate Research Scientist</td>
</tr>
<tr>
<td>Assistant Clinical Professor</td>
<td>Assistant Research</td>
</tr>
<tr>
<td>Clinical Instructor</td>
<td>Senior Research Scientist</td>
</tr>
</tbody>
</table>

**Position Descriptions**

Members with the ranks of Professor, Associate Professor, Assistant Professor, Instructor, Lecturer:

Non-tenure track employees with these ranks have the contractual privileges detailed in Articles 13 and 26 and are required to complete one probationary year of employment followed by five years of annual review and one-year reappointment. Following this initial six years of annual, one-year reappointments, multi-year appointments are offered, and these are ordinarily reappointments of three to five years. Each faculty member with the rank of Assistant, Associate, or (Full) Professor holds a doctoral degree in an area appropriate for the position and is assignment to a department appropriate for his/her academic and service responsibilities. The individual’s rank is based on both years of service and an established record of accomplishments in relation to the position. The term visiting signifies the temporary nature of the position and most often relates to the temporary duration of funding.

An example of the reappointment schedule for all non-tenure track faculty members eligible for more than three years of employment is as follows:

<table>
<thead>
<tr>
<th>Year</th>
<th>2012-2013</th>
<th>Probationary Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 2</td>
<td>2013-2014</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; Reappointment Year</td>
</tr>
<tr>
<td>Year 3</td>
<td>2014-2016</td>
<td>2&lt;sup&gt;nd&lt;/sup&gt; Reappointment Year</td>
</tr>
<tr>
<td>Year 4</td>
<td>2015-2016</td>
<td>3&lt;sup&gt;rd&lt;/sup&gt; Reappointment Year</td>
</tr>
<tr>
<td>Year 5</td>
<td>2016-2017</td>
<td>4&lt;sup&gt;th&lt;/sup&gt; Reappointment Year</td>
</tr>
<tr>
<td>Year 6</td>
<td>2016-2017</td>
<td>5&lt;sup&gt;th&lt;/sup&gt; Reappointment Year</td>
</tr>
<tr>
<td>Year 7</td>
<td>2017</td>
<td>Begin a multi-year appointment (ordinarily 3 to 5 years;</td>
</tr>
</tbody>
</table>
Clinical Faculty Members

Clinical Instructor: A non-tenure track employee granted the contractual privileges detailed in Articles 13 and 26. Each clinical instructor is expected to complete an initial probationary year of employment followed by five years of annual review and reappointment. Following this initial six years of annual one-year reappointments, a three-year appointment is ordinarily offered. The term clinical faculty identifies the instructors on staff who serve as clinicians at the Nayden Rehabilitation Clinic as well as instructors teaching courses for any other NSOE department. This instructor holds a Master’s degree. In most fields in education, the clinical instructor does not hold a terminal degree in an academic area appropriate for the School of Education position.

Assistant/Associate/Full Clinical Professor: A temporary, non-tenure track employee granted the contractual privileges detailed in Articles 13 and 26. Each clinical professor (all ranks) is required to complete an initial probationary year of employment followed by five years of annual review and reappointment. Following this initial six years of one-year appointments, a multi-year appointment is offered, and these are ordinarily for three years. This faculty member holds a doctoral degree in an area appropriate for the position and is assignment to a department appropriate for his/her academic responsibilities. The individual’s rank is based on both years of service and an established record of accomplishments in relation to the position. In general, Clinical faculty (all ranks) most often have defined responsibilities that do not parallel the responsibilities of tenure track faculty.

Appointment of Non-Tenure Track and Temporary Faculty

At hiring, each non-tenure track faculty member receives written documentation of position responsibilities in a letter of appointment. Because the responsibilities of these faculty members vary greatly from individual to individual and from department to department, the letter of appointment delineates the terms and conditions of the position, the job load, and the expectations of the faculty member. The roles of non-tenure faculty, for example, may include, but are not limited to: research activities; undergraduate and graduate instruction; clinical instruction/education; director of programs; director of field placements for teacher education programs; supervisor of student teaching; internship coordination; physical therapy classroom instruction; physical therapy clinical instruction and service, including patient care. It is noted
that position responsibilities may be modified through an amendment approved by the Dean, the Department Head, and the non-tenure track faculty and attached to the faculty’s letter of appointment.

**Reappointment in the Neag School of Education**

Appointments are renewable depending on successful, formal, ongoing review and available funding. Reviews are conducted according to the University’s established PTR schedule and review processes (i.e., at the Department and School levels) as determined by NSOE Dean and Department Heads.

Reviews are conducted annually for the first six years of employment; and thereafter, reviews are conducted to coincide with the renewal of reappointment year.

**University Procedures Guiding the Reappointment Process of Non Tenure-Track and Temporary Faculty/Staff**

The following policies and procedures guide the Neag School of Education’s process for conducting evaluations of non-tenure track faculty.

Annual reappointment reviews of non-tenure track faculty are conducted within the Neag School of Education at the department and school levels.

The Provost does not review the annual reappointment of non-tenure track faculty, except for those faculty members not in the tenure track solely due to immigration restrictions. Formal review of non-tenure track faculty is conducted by the school/college, with reappointment determined by satisfactory performance and the availability of funding. Appointment letters should be issued annually upon confirmation of support for the next fiscal year. (See the Provost’s Official Website, http://www.provost.uconn.edu/ptr):

**Promotion of Non-tenure Track Faculty Members**

*The promotion of non-tenure track faculty requires a review and recommendation at all levels including the Provost.*

Non-tenure track faculty who are evaluated for promotion and reappointment do so with the understanding that such procedures do not lead to tenure.

**Overview of the Reappointment Process**

Reviews for reappointment and/or promotion of non-tenure track faculty are based on the terms of the appointment as indicated in the individual’s offer letter. In general, the criteria for
reappointment reflect expectations that include considerations of teaching, scholarship, service, and administrative duties. The expectations and criteria are adjusted as applicable.

Greater responsibility is given to the Department Heads to work with the individual faculty to develop goals and criteria for advancement within the position. This results from the diverse range of responsibilities and activities observed across the School. For example, many Clinical Professors (all ranks) have primary responsibilities in areas of teaching (i.e., 4 courses per semester), and their reviews should focus more intensely on the criteria for teaching performance. Some Research Professors focus exclusively on activities related to research and may not have teaching responsibilities. Therefore, the evaluation of their performance will focus specifically on research/scholarship with the exclusion of all criteria for teaching. Clinical Instructors provide direct supervision to students giving care to patients (Nayden Clinic) or have productivity expectations while delivering the highest quality care (Nayden Clinic); their evaluations should focus on related criteria.

Although adjustments may be expected for individuals, the following criteria are detailed in relation to teaching, research, service, and administration/management – the broad categories of evaluation considered for tenure track faculty – in order to accommodate the diverse range of job responsibilities assumed by the non-tenure track faculty employed in the Neag School of Education.

One note is that the expectations for scholarship among temporary faculty reflect unique, job-related considerations. For example, it is anticipated that clinical faculty will be engaged most often in scholarship related to practice (defined as professional scholarship) rather than in research conducted to create new knowledge, although temporary faculty may certainly engage in such scholarship.

It is also noted that non-tenure track faculty with teaching loads adjusted to allow for research and service (e.g., a 2 – 2 teaching load) will be evaluated across all areas of responsibility (teaching, scholarship, service).

**General Guidelines for the Review of Non-tenure Track Faculty**

The following guidelines are intended to serve for both the annual re-appointment reviews and the promotion in rank decisions.

The candidate will follow the process for submission of materials detailed in the Provost’s guidelines, *Promotion, Tenure, and Reappointment (PTR) Procedures*, and complete the University’s PTR form adhering to the annually posted timelines for submission of materials for each annual review, each multi-year reappointment, and/or a review for promotion in rank.

Reviews include considerations of teaching, scholarship, service, and administrative duties *as appropriate to the candidate’s job description and responsibilities*. Therefore, it is anticipated
that candidates will have varying profiles and perhaps limited performance indicators for areas that are not considered their primary responsibility. Excellence in performing all job responsibilities is expected. The following outline presents general expectations in the areas of teaching, scholarship, service, and administration.

I. TEACHING

Teaching Expectations/Criteria

Effective teaching is a fundamental responsibility of each faculty member assigned teaching responsibilities. Effective teaching involves a number of dimensions, including designing challenging courses, stimulating intellectual curiosity and a sense of inquiry in students, and motivating learners. Important factors for teaching in a research university are the integration of research and teaching, the inclusion of latest research findings, and the ability to balance theoretical aspects with practical applications. Suggested teaching criteria include the following:

(a) High quality teaching is expected in all contexts, including academic classrooms and clinical settings (e.g., the Nayden Clinic). It is expected that all course related materials (syllabi, grading, etc.) are completed in a timely manner and are consistent with Department and NSOE Standards.
(b) Student Advisement expectations are set by Department Heads. Non-tenure track faculty with the ranks of Assistant/Associate/Professor may serve on Master’s and Ph. D. committees and such appointments must follow the guidelines of the University of Connecticut Graduate School.
(c) Teaching Innovation and/or Curriculum Development activities as appropriate, e.g., original and/or unique innovations to enhance teaching and content in an existing course, enhanced use of teaching technology, development of new courses, or contributions to the revision of programs (including clinical/patient activities) and related curricula.

Evidence of Teaching Performance and Related Activities

Suggested types of evidence the candidate may present include:

(a) Formal evaluations of teaching, including university-administered student evaluations of teaching that meet, or exceed, the criteria established for Neag School of Education faculty (overall ratings at or above the School mean) and any direct observations of instruction by peers or administrators. Some adjustments in student evaluation scores (i.e., the numerical score) may be expected for class settings that include large numbers of participants (50+).
(b) Evidence of the specific nature of teaching activities (seminars, lectures, laboratories, workshops, other) and a written statement detailing teaching philosophy (presented in the formal PTR form).
(c) Evidence of any steps individuals have taken to improve their instructional effectiveness (e.g., participated in development programs for faculty).

(d) Description of the integration of any teaching innovations (e.g., technology), development of new courses, or contributions to the revisions of programs.

(e) Documentation of the dissemination of instructional innovations (e.g., presentations at conferences) or specific materials developed by the individual for the benefit of the program (e.g., new program evaluation forms, a new student handbook, etc.).

(f) Communications from students regarding courses.

(g) Nominations and/or conferrals of teaching awards.

II. SCHOLARSHIP

Scholarship Expectations/Criteria

(a) Contributions that may be regarded as professional scholarship are expected. Professional scholarship is defined as intellectual/creative/scholarly accomplishments and leadership related to the individual’s teaching or professional practice (teacher education or physical therapy). Examples include teaching materials, technology, program evaluation reports, technical reports (often data-based), or strategies developed by the individual that make a special contribution to the field. Such products must be accessible to the larger educational/physical therapy community and must have impact on the field.

(b) Any contributions to grant development, writing, and implementation (given that these are applicable to the mission of the School) are also considered important indicators of scholarship.

(c) Any contributions to the Neag School that involve any type of data collection and analyses and that result in providing information beneficial in program evaluation (for local and national reports), in seeking student/alumni/faculty input (or satisfaction), or in guiding decision-making.

(d) The quantity of scholarly products will be impacted by the faculty member’s job responsibilities (i.e., teaching 4 courses a semester, assuming extensive clinical supervision, administering program components, etc.). Therefore, a specific number cannot be pre-determined. Rather, progress and promise in scholarship will be judged by the Department Head with input from the Department Review Committee. For those individuals with 2/2 teaching loads, it is expected that the research and scholarship productivity will match the expectations of tenure track faculty.

Evidence of Scholarship
Suggested types of evidence the candidate may present include:

(a) Publication, or presentation, in either peer or non-peer reviewed outlets/sources:
   a. Authored/co-authored articles in practitioner or research journals;
   b. Authored/co-authored textbooks, books, chapters relevant to the job description;
   c. Peer-reviewed manuscripts published in respected electronic journals, or
      presented at conferences (including poster presentations);
   d. Dissemination of materials, methods, or procedures relevant to the job description
      (e.g., web or video-based);
   e. Presentations at local, state, national, international conferences;
   f. Invited presentations;
   g. Collaborative research and grant writing activities;
   h. Grant development, or application for external funding opportunities, as
      appropriate;
   i. Technical reports.

(b) Fellowship in a professional organization.

III. SERVICE

Service Expectations/Criteria

The expectations for participation in service at the Clinic, Department, School, and University
levels by non-tenure track faculty are circumscribed by the role and responsibilities of each
individual and are specified on an individual basis by the Department Head.

(a) Generally, participation on one committee/working group at the Clinic, Department,
    School, or University level when requested by an administrator is expected.

(b) Service to the profession is valued and may include participation on state, regional, or
    national committees, editorships for journals, peer reviewing activities for conference
    programs, journal publications, grant reviewing panels, participation on State Department
    of Education committees, chairing sessions at conferences, and other similar
    responsibilities.

(c) Service may also include special support offered to the professional and public
    community beyond the University. Examples of such activities include special projects
    with public schools or community outreach.

(d) Collaborations between non-tenure track faculty and tenure track faculty that produce
    substantive delivery of service are also valued.
Evidence of Service Contributions

Although dependent upon the position and job responsibilities, expected evidence of quality contributions will include the following:

(a) Participation as requested on committees/working groups at the Clinical, Department, School, or University level.
(b) Contributions to the professional community as evidenced by committee work, conference contributions, editing work, and/or elected offices as appropriate for the individual’s professional affiliations.
(c) Contributions to the professional and public communities beyond the University reflecting the individual’s professional expertise.

IV. Administrative/Management Responsibilities

Expectations/Criteria for Administrative/Management Responsibilities

The non-tenure track faculty member whose responsibilities include administrative and/or management activities will be evaluated in relation to criteria such as the following. These criteria may be modified on the basis of specific job responsibilities, which may be unique and individual.

(a) Administration and management of clinical education and instructional initiatives directly tied to academic progress of students.

(b) Administration and management of clinical/teacher education involving coordination of staff, coordination of activities (teacher education meetings), assignment of staff (student teaching supervisors), supervision of activities (assignment of internships).

(c) Administration and management of NSOE outreach initiatives or administration and management of grant-related initiatives.

(d) Contributions to activities related to program reviews, department reviews, and accreditation reviews.

Evidence of Administrative/Management Accomplishments

(a) Documentation of program/unit activities and accomplishments.

a. Reports of clinical and instructional initiatives and impacts on students.
(b) Development and direction of any procedural activities (e.g., materials assisting schools and supervisors with student teacher placements, evaluation, etc.).

(c) Documented results of outreach initiatives.

(d) Specific contributions to program reviews, department reviews, accreditation reviews.

**Promotion to the Rank of Associate Professor (Temporary, Non-tenure Track Faculty)**

Evaluations at all levels are judged on their merit and in relation to School and University expectations and not in comparison to others in the Department or School. Within the criteria for earning promotion is recognition of the different contexts and disciplines within which the non-tenure track faculty in the Neag School are establishing their reputations.

The individual faculty member being considered for promotion in rank must have served at least six full years in rank to be promoted – with the review usually coming after the fifth year. The review for promotion from Assistant to Associate Professor (Clinical Associate Professor, Associate Extension Professor, Visiting Associate Professor) is expected to occur during the sixth year of university employment; however, it could come during a subsequent year.

In calculating years of service, allowances for leaves of absence are to reflect the University’s policies. In some cases faculty with prior, relevant service at another university may be promoted before accruing six full years in rank at the University of Connecticut. This determination is established at the time of hiring.

To be considered, the candidate will complete the Provost’s official PTR form, prepare a PTR file as described by the Provost and in consultation with the Department Head, and adhere to the annually posted timeline.

Reviews for promotion of non-tenure track faculty are based on the terms of the appointment. In general, the criteria for promotion include the candidate’s cumulative record in relation to the general areas of Teaching, Scholarship, Service, and Administration. The evaluation of each candidate will be guided by careful consideration of the individual’s terms of employment (the primary responsibilities) and the candidate’s record in meeting all terms with evidence of productivity and promise.

The evaluation process will include securing written evaluations/letters from professionals who are appropriate assessors of the candidate’s contributions, including field-based practitioners and/or administrators.

While each of the primary areas evaluated have been detailed above (Section 1), an abbreviated outline of criteria follows.
An important consideration for this promotion in rank is evidence of continued productivity and development, and the emergence of national contributions and presence.

**Teaching**

- High quality teaching as evidenced by formal, university-administered, student evaluations that meet, or exceed, the criteria established for NSOE faculty.
- High quality student advisement and/or supervision as appropriate for the candidate’s position and responsibilities (not all are required to serve as advisors).
- Documentation of teaching innovations and/or curriculum development as appropriate for the position and individual’s responsibilities. These innovations or development projects are expected to contribute to the profession broadly (regionally or nationally) as evidenced by publication or presentation in appropriate, academic outlets (peer reviewed or other).

**Scholarship**

- Evidence of professional scholarship, defined as intellectual/creative/scholarly accomplishments and leadership related to the individual’s teaching or professional practice. Authorship/co-authorship of articles published in professional, non peer reviewed journals or other academic venues/ outlets.
- Authorship/co-authorship of peer-reviewed manuscripts, grant applications, books, and book chapters in respected publications or outlets (conferences and electronic journals). Peer-reviewed professional presentations (including poster presentations) and invited presentations at national, regional, state, international venues.
- Collaborative research and grant writing activities.
- Any contributions to the Neag School that involve any type of data collection and analyses that result in technical reports or summaries that inform decision-making, including program evaluation activities, and student and alumni surveys.
- Grant development, or application for external funding opportunities as appropriate, and implementation.

The quantity of such products will be impacted by the faculty member’s job responsibilities (i.e., teaching 4 courses a semester, assuming extensive clinical supervision, administering program components, etc.). Therefore, a specific number cannot be pre-determined. Rather, progress and promise in scholarship will be judged by the Department Head with input from the Department Review Committee.

**Service**

- Participation as requested on committees/working groups at the Clinical, Department, School, or University level.
• Contributions to Neag School programs, e.g., development and/or maintenance of clinical opportunities and experiences for Neag students.
• Contributions to the professional and public communities beyond the University reflecting the individuals professional affiliations.
• Contributions to the professional community as evidenced by committee work, conference contributions, editing work, and/or elected offices as appropriate for the individual’s professional affiliations.

**Administration/Management**

• Administration and management of clinical education and instructional initiatives directly tied to academic progress of students.
• Administration and management of clinical/teacher education involving coordination of staff, coordination of activities (teacher education meetings), assignment of staff (student teaching supervisors), supervision of activities (assignment of internships).
• Administration and management of NSOE outreach initiatives.
• Contributions to activities related to program reviews, department reviews, and accreditation reviews.

**Promotion in Rank to Professor (Temporary, Non-tenure Track Faculty)**

The candidate for promotion to Professor must present an exemplary record of performance in all areas relevant to the candidate’s primary area(s) of responsibility. The candidate is expected to demonstrate that he/she has acquired a national reputation, or recognition within the larger educational/professional community, in his/her principal area(s) of responsibility.

**Teaching**

• The candidate for promotion to Professor must have an established record of excellence in teaching, as evidenced by the range of indicators for teaching and advisement detailed above, over time.
• Documentation of teaching innovations and/or curriculum development must confirm that the candidate’s primary focus (e.g., on teaching or clinical practice) and demonstrated excellence (e.g., in teaching or in clinical practice) have resulted in contributions to the profession at a regional/national level.

**Scholarship**
• The candidate for promotion to Professor must have established a national reputation through scholarly endeavors.

• This may include professional scholarship. Professional scholarship is defined as intellectual/creative/scholarly accomplishments and leadership related to practice (teacher education or physical therapy). This scholarship must be available to the larger educational community and must have impact on the field.

Service

• The candidate for promotion to Professor must have evidence of sustained and ongoing service contributions to the academic, professional, and public communities.

Administration/Management

(e) Administration and management of clinical education and instructional initiatives directly tied to academic progress of students.

(f) Administration and management of clinical/teacher education involving coordination of staff, coordination of activities (teacher education meetings), assignment of staff (student teaching supervisors), supervision of activities (assignment of internships).

(g) Administration and management of NSOE outreach initiatives.

(h) Contributions to activities related to program reviews, department reviews, and accreditation reviews.

General Guidelines for the Review Process

Annual Review
The process for the annual review is detailed in the Provost’s Office guidelines, *Promotion, Tenure, and Reappointment* (PTR) which presents specific procedures and timelines. Following is an abstracted overview to inform faculty members of the steps and specific committees involved in the review process:

• Completion of the University’s PTR form by the faculty member and submission of this form with supporting documents by the published deadline (established annually by the Provost). These documents become the faculty member’s dossier. The faculty
member’s PTR file consists of his or her dossier plus all other written materials.

- The faculty member may add to his/her PTR file at any time by bringing materials to the department head; no materials may be removed from the file.
- The PTR form for each individual is reviewed by the Department PTR Advisory Committee, which advises the Department Head on the reappointment and/or promotion decision and submits a letter summarizing the Committee’s evaluation and vote on the faculty member’s candidacy (for re-appointment and/or promotion).
- The Department Head completes his/her evaluation and submits the candidate’s PTR file and related materials to the Dean’s office.
- The Dean’s Advisory Council on PTR reviews the faculty member’s PTR file and appraises the performance and potential for teaching, scholarship, creative accomplishments, and service of the individual under consideration in relation to the individual’s position responsibilities. The Council’s evaluation of each individual is summarized for the Dean in a written report that includes the Council’s vote.
- The Dean writes his/her evaluation and when/if necessary submits all necessary forms and supporting documents to the Provost.
- Under Connecticut Freedom of Information statues, candidates have access to their files and to recommendation letters.

For Promotion
All steps detailed above pertain to the process and the preparation of materials supporting the candidate’s application for promotion in rank. An additional set of materials consisting of supporting documents includes the following:

- Completion of the University’s PTR form by the faculty member and submission of this form with supporting documents by the published deadline (established annually by the Provost). These documents become the faculty member’s dossier. The faculty member’s PTR file consists of his/her dossier plus all other written materials. These materials will ordinarily consist of materials supporting the following areas:
  - Personal
    - Candidate’s curriculum vita
    - Candidate’s personal statement
• The Department Head will work with the candidate to identify potential referents (4 to 5) who will be invited to submit letters. The external referents will be chosen in light of the candidate’s job responsibilities, and they will be asked to comment on the candidate’s performance and contributions.