

1.3 Promotion Research (non-tenure track) Faculty (adopted by the LBJ School Budget Council on February 13, 2006; revised 9 October 2006 and 1 December 2008; revised on 18, April 2011)

The LBJ School of Public Affairs (LBJ School) abides by policies and procedures established by the Office of the Executive Vice President and Provost of The University of Texas at Austin (UT/Austin). To provide additional guidance to candidates for promotion in research tracks (non-tenure), the LBJ School has established the following internal policies.

UT Research Titles

The *UT Handbook of Operating Procedures* establishes several research titles of relevance to the LBJ School (see Sec. 7.23. Research Titles). The titles and descriptions for full-time research professionals (otherwise known as “Code 1000” staff) at UT/Austin are Research Associate, Research Scientist, Research Engineer, Senior Research Scientist, and Senior Research Engineer. Research titles used to designate temporary/visiting research appointments include Senior Research Fellow, Research Fellow, and Postdoctoral Fellow. Senior Research Fellow and Research Fellow also may be used for "adjunct" research appointments.

This document discusses promotion procedures for only three titles: *Research Associate*, *Research Scientist* and *Senior Research Scientist*. Under UT/Austin job titles, these positions are often called “Scientist/Engineer” positions. However, as the title of Engineer is not typically used in the LBJ School, “Scientist” would be the more likely title. The qualifications for each title are described below. The titles “Senior Research Fellow” and “Research Fellow” are normally used for visiting scientists/engineers and are not germane to this document on policy that refers to promotion in the research track.

Recruitment

At the time of the initial appointment to the position of Research Scientist, Senior Research Scientist, and Research Associate, the Director of the relevant organized research unit or PI of the project will nominate an individual for approval by the Dean of the LBJ School. This nomination does not require review by the LBJ School Budget Council (BC). The nomination will reflect the recruitment process for each position, involving either the PI alone (for any RA) or a recruitment committee (in each case of a RS or SRS).

Any promotion of a RA to RS or a RS to a SRS will be conducted by the LBJ School’s Budget Council, at the request of the Dean of the School. The BC will conduct a review of any person who seeks promotion in the research track.

Senior Research Scientist

A Senior Research Scientist (SRS) should have research accomplishments and professional experience equivalent to that of a full professor, as appropriate to the mission of the relevant organized research unit, and including supervision of research programs/projects as a principal investigator.

A SRS is not expected to teach courses in the LBJ School, cannot be a member of the LBJ School's BC, and no portion of the SRS's salary should come from the LBJ School's teaching budget. [An exception to the "no teaching" rule can be made if it is the preference of the Associate Dean for Academic Affairs to make such an exception and the LBJ School faculty approves the person to teach the course in question.]

Recruitment into any SRS position is to be competitive; the position should be advertised publicly with a peer review of candidates for the position by an appropriate committee. For a SRS position, the Principal Investigator (PI) of the project that will be supporting the SRS must be a member of the committee to screen applicants. For hiring an SRS, the LBJ School Dean should appoint at least two other GSC members to serve on the screening committee. The hiring decision will be made by the PI with the approval of the LBJ School Dean.

Research Scientist

A Research Scientist (RS) should have professional qualifications comparable to those of an established assistant professor or a new associate professor as appropriate to the mission of the relevant organized research unit. The individual must have an established record as a mature, independent research scientist. A RS is not expected to teach courses in the LBJ School, cannot be a member of the LBJ School's BC, and no portion of the RS's salary is to come from the LBJ School's teaching budget. [An exception to the "no teaching" rule can be made if it is the preference of the Associate Dean for Academic Affairs to make such an exception and the LBJ School faculty approves the person to teach the course in question.]

A RS position should be advertised publicly with a peer review of candidates for the position by an appropriate committee. For a RS position, the Principal Investigator (PI) of the project that will be supporting the RS must be a member of the committee to screen candidates. For hiring an RS, the LBJ School Dean should appoint at least one other GSC member to serve on the screening committee. The hiring decision will be made by the PI with the approval of the LBJ School Dean.

Research Associate

A Research Associate (RA) is an entry-level professional research position. An individual recommended for appointment to this position must have the professional qualifications to conduct independent research and the potential to become an established researcher. A RA is not expected to teach courses in the LBJ School, cannot be a member of the LBJ

School's Budget Council, and no portion of the RA's salary is to come from the LBJ School's teaching budget. [An exception to the "no teaching" rule can be made if it is the preference of the Associate Dean for Academic Affairs to make such an exception and the LBJ School faculty approves the person to teach the course in question.]

A RA position should be advertised publicly with a peer review of candidates for the position by an appropriate committee. For a RA position, the Principal Investigator (PI) of the project that will be supporting the RA will be the sole person to screen candidates. The hiring decision will be made by the PI with the approval of the LBJ School Dean.

Procedures for Promotion

Requests for consideration for promotion of an individual holding a research title must be communicated to the Director of individual's research unit and to the Dean of the LBJ School by 1 December of a calendar year for consideration during the next year.

The BC chair prior to January 31 will appoint a subcommittee to consider the candidate's case. The subcommittee will include three members of the BC. The director of the unit in which the candidate is employed will advise the BC subcommittee. At least one of the BC members should be able to assess independently the quality of the candidate's research.

Completion of promotion file. All candidates for promotion are required to submit a complete draft of their promotion file by February 1 of that year. The file will include publications and other evidence of scholarships/creativity (following the guidelines for tenure track promotion files). No other elements (teaching, service, etc.) will be included in the dossier for individuals holding research titles. If a file has not been submitted by February 1, the BC will defer further consideration of the case until the next calendar year.

The BC subcommittee will be responsible for submitting the file for evaluation by external reviewers during March or April of that year. The candidate can nominate reviewers to the subcommittee. The director of the candidate's research center or PI to whom the candidate reports will be consulted on names of external reviewers. However, the final selection of reviewers and solicitation of reviews will be the responsibility of the BC subcommittee. External reviewers will be given a deadline of no later than August 1.

Budget Council consideration. Prior to September 1, the BC subcommittee will recommend for or against promotion. The BC subcommittee will issue a recommendation, accompanied by the subcommittee report, to the BC and to the Dean by September 1.

In the event of an unanimous BC subcommittee recommendation, the full BC need not vote on the matter; the subcommittee report can suffice. If any member of the BC objects to an unanimous subcommittee recommendation, the matter will be considered by the full

BC. In the event that a recommendation from the BC subcommittee is not unanimous, the full BC will be asked to vote on a recommendation to the dean.

If a vote by the full BC is required, a final BC recommendation to the Dean will be expected prior to October 1.

Elements of the Promotion File

Curriculum Vitae

The candidate's dossier should include a curriculum vitae containing, among other things, a list of:

- degrees and dates awarded;
- all professional appointments; and
- other evidence of merit or recognition.

The dossier should include a complete publications record with:

- publications and other evidence of scholarship/creativity listed according to the kind of entry, e.g., books, reports, chapters, articles, and other materials;
- the names of the co-authors listed in the order in which they appear in the publication;
- clear designation of the candidate's role if it is not author (e.g., editor, compiler, translator, or some other role);
- works that are submitted, accepted, forthcoming, in press, clearly labeled;
- beginning and ending page numbers for articles and total number of pages for books

In addition, the dossier should include a list of all research contracts/grants and proposals submitted with:

- funding sources;
- funding period;
- co-PIs and relative effort of each, where appropriate;
- funding amounts (by academic year and amount under candidate's supervision); and
- for proposal, an indication of the status of each (e.g., submitted, approved, pending funding)

For any and all co-authored works, candidates need to submit a separate document that indicates who the co-authors are (e.g., current/former student, faculty colleague at UT Austin or another institution). For co-authored works involving faculty colleagues or peers, the candidate should indicate the relative division of labor between the candidate and any co-authors.

For any and all works that are forthcoming, letters of acceptance from editors are to be submitted with the file. Reviews, where available, are to be included.

Publications and Other Evidence of Scholarship/Creativity

The candidate will prepare a statement for the dossier summarizing the corpus of the scholarship and the critical contributions made to the literature and public policy. The candidate should also discuss any recognition that his/her work has received. The candidate will also describe the expected future directions of his/her research and its significance.

The BC subcommittee will summarize and assess the candidate's contributions in this area in a separate document. The summary should identify and comment on those items considered to be of major significance or outstanding quality and provide a brief statement of the basis for qualitative judgments in the area or discipline. The assessment is to include the typed names and signatures of the BC members responsible for preparing the statement.

The BC subcommittee will circulate the candidate's file for external review in a manner commensurate with a review for promotion to a tenure track position. The evaluation process should follow standards comparable to the competitive tenure review process. The external evaluations will assess only the materials in the review file.

The BC subcommittee will describe how it conducted its review, the standards used and the norms of the field. It should indicate, for example, the quality of the outlets for a candidate's work (i.e., journals, presses, etc.) and explain the norms of co-authorship in the area. If nontraditional outlets for research or scholarly/creative activity are to be counted favorably (e.g., textbooks, continuing education presentations, governmental or industrial service, etc.), the report should explain the reasons for doing so. For works that have been accepted or are forthcoming, a letter from the editor or publishing house must be included, and the anticipated publication date noted.

The LBJ School accepts as legitimate publication all publications, whether peer-reviewed or not peer-reviewed. The LBJ School BC will assess both the quality of the research itself as well as the quality and impact of the publication venue.

Voting Procedures

Where the BC subcommittee recommendation is unanimous it is possible that the full BC will not be involved in the case. In the event that the BC subcommittee recommendation is not unanimous or in the event that a BC member does not agree with unanimous recommendations, then the full BC would be asked to vote.

When there would be a vote, and then a vote can occur only when there is a quorum in attendance. A quorum is defined by the presence of more than 50 percent of all the BC members eligible to vote on the case, excluding BC members serving outside of Austin for the semester.

Secret ballot. All votes in promotion cases will be by secret ballot.

Given a quorum, if more than 50 percent of the persons present vote to support the promotion, then the BC recommendation will be to “support for promotion.” In the event that 50 percent of the persons present do not support the promotion, (by “no” votes, abstentions or a failure to cast a ballot), then the BC recommendation will be to “not support promotion.”

Schedule for Non-Tenure-Track Promotion Processes

<u>Date</u>	<u>Event</u>
Before December 1	Request to Supervisor and Dean for promotion consideration
Before January 31	BC Chair nominates promotion subcommittee of three BC members
Before February 1	Candidate submits a draft of promotion file.
Before March 1	BC subcommittee meets with candidate
Before April 1	BC subcommittee selects external reviewers
Before April 1	Research materials mailed to reviewers
August 15	Final promotion file submitted for Budget Council review
	External reviews completed
September 1	BC subcommittee provides a copy of external review letters to the Dean’s Office, to be made available to the Budget Council
	BC subcommittee presents report to BC and Dean
No Action	No further action if subcommittee recommendation unanimous
Full BC Review	If the subcommittee recommendation is not unanimous or if a BC member objects to the recommendation
Before September 30	Budget Council report and recommendation submitted to Dean