

**GUIDELINES FOR CONTINUING STATUS
AND PROMOTION**

**THE UNIVERSITY OF ARIZONA
COLLEGE OF MEDICINE**

Endorsed by the Provost, 9/11/86

Amended by the Library Faculty Assembly, 3/3/89

Amended by Academic Affairs, 6/12/90

Revisions by CS&P Committee of 6/12/90 Version, 1/29/96

First and Second Drafts of Revisions, 8/6/96, 10/29/96

Final Draft of Revisions Approved by College, 11/15/96

Approved by the Provost, 11/22/96

PROCEDURES RELATING TO CONTINUING STATUS AND PROMOTION
FOR ACADEMIC AND SERVICE PROFESSIONALS
WITHIN THE COLLEGE OF MEDICINE

[General Policies for Professional Personnel](#)

[Levels of Review](#)

[Promotion](#)

[Continuing Status](#)

[Criteria for Continuing Status and Promotion](#)

[Preparation of Supporting Material](#)

The following guidelines describe the procedures by which academic and service professionals are evaluated for continuing status or promotion by the standing committee of the College of Medicine. The terms "Academic Professionals" and "Service Professionals" are defined in [Section 6.301](#) of the Arizona Board of Regents [Policy Manual](#) (ABORPM), as amended. Conditions of service are specified in [Chapter 4](#) of the [University Handbook for Appointed Personnel](#) (UHAP). Each professional is strongly urged to study the relevant section of these documents.

Candidates for continuing status or promotion should ensure that they are familiar with the above references. No statement in this document shall be construed as modifying or superseding any requirement of the conditions of professional service as adopted by the Arizona Board of Regents.

[General Policies for Professional Personnel](#)

Professional employees of The University of Arizona are designated as "year-to-year", "continuing-eligible" or "continuing" on the Notice of Appointment received from the President. Only those professionals identified as "continuing-eligible" on their Notice of Appointment may be considered for continuing status. All professional categories are eligible for promotion at any time after the first year of service. It should be noted that only professional personnel employed full-time and funded by State appropriation or its equivalent are eligible for "continuing" or "continuing-eligible" status ([UHAP 4.06](#)).

Professionals designated as "year-to-year" may be reclassified as "continuing-eligible" provided that the criteria listed in Chapter 4 of the University Handbook are met. In this event, the extent to which prior service shall count towards review for continuing status shall be determined on a case-by-case basis and approved by the Provost.

Each position to which a professional is appointed should have associated with it a clear description of the responsibilities and duties involved. The position description must be approved by the Director of Employee Services and by the originating administrator.

Each professional employee should have a copy of the position description. Substantial changes in responsibilities or duties that may occur subsequent to employment should be reflected in a new position description that must undergo the approvals described above. The position description should clearly show the distribution of effort between job duties and responsibilities, service, scholarly activities, and (if applicable) teaching and research to ensure that evaluation for continuing status or promotion will be fair and objective.

A career ladder of at least three steps should be established at the time of employment. Such a ladder will provide a mechanism by which the professional may be considered for promotion. Generic ranks and titles for professional employees have been identified by the Provost, and can be used as guides.

Both the department head or director and the professional should have a clear understanding of the order and timing of events relating to promotion and the conferral of continuing status:

1. It must be clearly established at the time of appointment when the continuing status "clock" begins, and whether previous service at The University of Arizona or another institution will be counted in the probationary period. In general, the time of employment will be considered to be July 1 of the fiscal year in which the professional begins "continuing-eligible" duties, unless duties begin after January 15th, in which case time may be counted from the following July 1, provided that this decision is agreed upon at the time of appointment.

2. Annual written performance evaluations of the professional should include both peer review, where appropriate (see [4.08.03](#)), and an assessment by the immediate administrative head or supervisor. These evaluations must be in terms of written criteria which have been developed within the department to define performance expectations. "Annual performance evaluations may be taken into account as part of the promotion and continuing status process" ([UHAP 4.08.02](#)). A professional who is dissatisfied with the results of an annual evaluation may appeal to the next highest administrative level.

3. A continuing-eligible appointment may not be renewed as such more than six successive times, that is, for a maximum of seven years. "Before the end

of their third and sixth years of service, continuing-eligible professionals shall be informed by their department head that they are being recommended for:

- (a) successive reappointments for the next three years;
- (b) continuing status, with or without promotion;
- (c) nonrenewal;
- (d) a terminal year appointment.

This does not preclude consideration for promotion at other times, nor does it preclude a decision of nonrenewal prior to or at the next biennial review." ([UHAP 4.10.03](#)).

It is most important that the third year review be both thorough and realistic, so that the professional is aware of any deficiencies in performance which need to be corrected before proceeding to recommendation for continuing status. It is recommended that the third year review be similar to that required for continuing status except that letters of reference are not needed. The professional must receive a copy of these evaluations which will include reference to any problem areas. The academic/fiscal years in which the professional will undergo third year and mandatory continuing status review should be specified in all letters of offer.

4. All recommendations for continuing status and/or promotion must be submitted to the Dean of the College of Medicine before November 1, for final action by April 15 of the following year. January 15 is the deadline for receipt of dossiers by the Provost's Office.

Considerable time and effort must be devoted to the collection of supporting materials, particularly for the consideration of continuing status (see the Provost's current guidelines regarding 'Continuing Status and Promotion Process and Preparation of Dossiers'). It is most important that professionals recognize the need to collect these supporting materials throughout their employment at the university, and of the considerable lead time required to assemble a complete dossier.

Levels of Review

1. Department/Division

Each department or division having three or more professionals with continuing status should have a standing committee on continuing status/promotion. The department/division should also have established written criteria approved by the Dean and Provost to be used in recommending continuing status and/or promotion. Departments/divisions that do not have a standing committee on continuing status/promotion should conscript appropriate professionals from other departments in order

to provide necessary peer review and to identify areas of the dossier that may need to be augmented.

The department/division committee shall review the dossier assembled by the candidate for completeness, and recommend for or against the awarding of continuing status and/or promotion, nonrenewal, or renewal. The committee shall advise the candidate if additional supporting information should be included in the dossier. The committee's recommendation will be forwarded to the department head/director, who will append her or his recommendation. Whether or not the department head/director concurs with the committee's recommendation, the review will proceed through all of the levels described below.

Department/division review should be done sufficiently far in advance of the November 1 deadline to permit the collection of additional information if recommended. It is also recommended that the decisions of the committee, and the reasons for those decisions, be recorded in detail and provided to the next level of review.

2. College of Medicine

The College of Medicine Standing Committee on Continuing Status will review the dossiers and department recommendations sent to the Dean by the November 1 deadline. This committee consists of at least three members who have achieved continuing status. Members are appointed by the Dean of the College of Medicine for staggered, three year terms.

Every effort is made to have the committee members represent a variety of disciplines.

The college review will consist of evaluation of the dossier for adequacy of content based on the guidelines circulated annually by the Provost, in terms of the criteria set forth in [Chapter 4](#) of the [University Handbook](#), and based on criteria developed by the department and the college for this purpose.

Department heads, directors and deans are required by UHAP [Section 4.17](#) to advise candidates in writing of their recommendations regarding continuing status, promotion, nonrenewal, or renewal at the time the recommendations are forwarded to the next reviewer.

The committee will then recommend for or against continuing status and/or promotion, nonrenewal or renewal to the Dean. The Dean will forward the dossiers of all candidates to the Provost. The Dean's recommendation to the Provost may differ from that of the committee, but both decisions are documented and forwarded.

3. University

All academic or service professionals being considered for continuing status or promotion will be reviewed by a university committee appointed by the Provost for that purpose. Candidates will be evaluated on the basis of the submitted dossier. A request to append additional information must be received by the Provost's Office by February 1, unless it is a request for additional information from the University Advisory Committee on Continuing Status and Promotion. The expanded dossier must be re-reviewed by all levels of reviewers. The university committee will recommend for or against continuing status and/or promotion to the Provost who will then make the final decision. Decisions of the Provost may be appealed to the President, whose action is final, unless, under the terms of [UHAP 4.04](#), the Committee on Academic Freedom and Tenure subsequently recommends that further review or action be taken by the President. On request, the Provost will provide a written statement of the reasons for denial of continuing status and/or promotion.

Promotion

Promotion is intended to recognize professional and scholarly achievement. A professional employee may be recommended for promotion at any time following the initial year of service, based on excellent performance. Promotion must be to a previously established position with specific responsibilities as approved by the Provost. The candidate can request promotion but recommendation for promotion should be initiated by the immediate supervisor. Peer reviews by the Standing Committee on Continuing Status shall be part of the promotion review process for academic professionals at the college or division level and, if possible, at the departmental level. Peer review shall be conducted only by professionals holding rank superior to the rank of the candidate being considered. Peer review may be sought outside the university. Promotion normally is effective at the beginning of the academic or fiscal year, as appropriate, following recommendation and approval. The Provost shall decide whether an individual will be promoted.

No attempt is made in these guidelines to identify titles of academic professionals within the College of Medicine because of the wide range of positions involved. The duties and responsibilities of the professional must be identified at the departmental or administrative unit level, in writing.

Continuing Status

"Continuing status requires excellent performance and the promise of continued excellence" ([UHAP 4.10.02](#)). The continuing-eligible professional

may be considered for continuing status at any time following appointment, but must be considered by the sixth year of employment. If, at the end of six years of employment continuing status has not been conferred, the individual may not be employed for more than one additional year ([UHAP 4.10.03](#)). However, the professional is urged not to seek continuing status too early, time is required for excellent performance to be documented adequately.

Since the duties of academic and service professionals are often highly specialized, adequate evaluation is heavily dependent on sound supporting documentation based on the individual position description.

Criteria for Continuing Status and Promotion

Candidates will be evaluated as to:

1. Position Effectiveness
2. Scholarly Achievement
3. Professional Service

based on the written criteria which have been developed within their own department.

Of these categories, it is expected that position effectiveness will be the most important.

Position effectiveness requires that the duties specified in the candidate's job description have been performed at a high level of competence. Annual reviews and letters from the clientele served will be of major value in demonstrating excellence in this area.

Specific accomplishments in job performance should be noted, preferably in quantitative or measurable terms. Inclusion in the information packet of a letter from the candidate's direct supervisor may be particularly helpful in establishing position effectiveness. Evidence of initiative, management skills and supervisory abilities should be included, together with a description of continuing education.

Scholarly achievement is a necessary component of professional development. Applicants should provide evidence of professional communication with their peers. Such communications include the traditional avenues of publication in reviewed journals, review articles and book chapters. Equally valid may be dissemination of information through computer programs, training manuals, videotapes, technical monographs and other forms of communication appropriate to the individual's situation. Presentations, including poster sessions, at conferences and meetings

should be described. Evidence of state, regional or national recognition by professional organizations should be emphasized.

Teaching activities should be described in terms of the courses or classes taught, their duration and frequency, and the approximate number and type of students. Teaching evaluation may be by peers or by groups of students, but individual student comments will not be helpful. Information on student performance following the course or any other forms of measurable outcome should be mentioned, as should innovative instruction methods or teaching aids developed by the candidate.

Professional service includes service to the department, college, university, and to outside professional organizations and societies. Membership on committees, including whether or not in a leadership position, should be described. Activities in professional societies at the state, regional or national level should be included. Consultation to individuals or organizations to the extent that it is within the candidate's professional area and enhances the reputation of the university is also valid. Community service outside of the professional's area of expertise may be mentioned but will be assigned a lower weighing factor than professional activities.

The relative significance of the three major categories will vary from individual to individual, but each must be present if the overall decision is to be favorable.

Preparation of Supporting Material

The importance of an early start in preparing the dossier has already been stressed. It is also required that the dossier follow the exact format that is distributed yearly by the Provost's Office. Additional material may be supplied if it has a direct bearing on the candidate's performance. However, keep in mind that the dossier will be reviewed by a campus-wide committee and superfluous material will not, in general, be helpful.

Particularly important are the letters of reference required for the dossier. These should be requested by the department head or department committee, using the format of the sample letter provided by the Provost.