

ORGANIZATIONAL ANALYSIS

(Sec. 46A-68-82)

March 2024

This section was in compliance in the previous filing and there were no proposals or recommendations.

1. Job Title Study

Each office, position, and position classification authorized by the Department of Administrative Services or established by statute is shown arranged into lines of progression, depicting the order of jobs through which an employee may advance. The titles are organized from the highest position to the lowest position.

Management Titles (EEO-1)

Management classifications are grouped into series demonstrating the progression and indicating those titles that are promotional and those titles that are non-promotional.

Faculty Titles (EEO-2)

Faculty titles are separated into three broad groups: tenure track faculty, non-tenure track faculty, and temporary faculty. Promotional and non-promotional titles are indicated as such. In most cases, the non-promotional titles are the highest level in the specific series. Some non-promotional titles, such as BOT Distinguished Professor, are honorary, and are conferred by the Board of Trustees at the recommendation of the Provost.

Most employees in faculty titles belong to a collective bargaining unit, the American Association of University Professors (AAUP), however faculty members in the University's School of Law are unrepresented even though they use the same titles. Approved AAUP titles are enumerated in the Collective Bargaining Agreement (CBA), Article 1, Recognition. Please see **Exhibit 1** of this section for the contact language as well as the University By-Laws.

Faculty promotions are governed by the University's Promotion, Tenure and Reappointment process (PTR), as found in the University Laws, By-laws and Rules, Article XIV and in [PTR Procedures](#) promulgated by the Provost and Executive Vice President for Academic Affairs. Please see **Exhibit 2** of this section for the PTR Procedures.

Faculty members themselves initiate a request for promotion to the next level in the series. A broad range of documentation and references must be provided with the PTR application, which is closely reviewed by colleagues and peers in the academic specialty. A PTR committee in each school/college reviews the materials and forwards a recommendation to the Dean, who forwards their recommendation to the Provost. In the promotion from Assistant Professor to Associate Professor, tenure is also generally granted. This occurs typically after six years of service from time of hire. Similarly, a request for promotion from Associate Professor to Professor is self-

initiated by faculty members and follows the PTR process. Faculty at the Associate Professor level are not mandated to apply for promotion and there is no minimum time requirement of service. The Board of Trustees gives the final approval on tenure awards for faculty by vote at a full Board meeting, usually in April of each academic year.

Professional Titles (EEO 3)

The Professional category encompasses University of Connecticut's Professional Employees Association (UCPEA) classifications, staff positions within the American Association of University Professors (AAUP) collective bargaining unit, and other professional titles that are not represented by a bargaining unit and classified as either management or confidential exempt.

The University of Connecticut Professional Employee Associations includes approximately 220 job templates that are used for approximately 2,000 employees each year. The job templates are broken down into Occupational Group which are broad categories of associated occupations. Each Occupational Group consists of Job Families and Job Paths. The first subdivision of the Occupational Group is the Job Family. Job Families group related jobs with similar work, requiring comparable training, skills, knowledge, and experience. Job Families are more detailed than Occupational Groups, further organizing work through grouping professionally similar jobs that often possess different titles across UConn. The second subdivision of the Occupational Group is the Job Path. Job Paths group roles with a progressive growth in qualifications, complexity, and independence. For some employees, a Job Path may serve as a career trajectory.

Also included in EEO-3 (Professional Titles) are staff titles represented by the American Association of University Professors. These include job classifications with responsibility for research and research support as well as head and assistant coaches within the University Division of Athletics.

Finally, there are professional titles (EEO-3) that are unrepresented by any bargaining unit and include management and confidential staff positions.

Classified State Merit System Titles (EEO-4 to EEO 7)

Each position classification authorized by the Department of Administrative Services or established by statute is shown arranged into lines of progression, depicting the order of jobs through which an employee may advance. The titles are organized from the highest position to the lowest position and titles that do not have a natural line of progression are identified as Non-Promotional.

2. Occupational Category Study

For this *Plan*, each position classification that was utilized during the *Plan* year has been placed in an occupational category with other position classifications with similar job content and opportunity. The position classifications in each occupational category are listed from highest to lowest level with the salary range for each classification.

There are no mandated salary ranges for Executive/Managerial titles or for the non-UCPEA nonteaching professional titles. As a result, the figures shown are the *actual* minimum and maximum salaries of employees in each title.

For faculty, the University does not have a compensation schedule because the AAUP CBU is considered a “minimum terms” contract in relation to salary. The CBU requires that new hires be offered “no less than the lowest salary in each [professorial] rank in the previous academic year” for Associate Professors and Professors. There is no minimum salary requirement for Assistant Professors. Salary minima for 2023-2024 are: Associate Professor \$65,678 and Professor \$89,532. Please see **Exhibit 3** of this section for the posted faculty minima.

While faculty titles progress from Assistant Professor to Associate Professor to Professor, salaries do not necessarily follow this same line of progression. Hiring salaries are generally determined by other factors, in addition to the minimum salaries for the faculty rank of the position. These factors include the market value of the candidate’s particular skill set, their reputation in the academic discipline, scholarly works, creative accomplishments, professional honors, and various other criteria. Academic disciplines frequently dictate the salary potential for a title and are not uniform throughout the University. Certain disciplines are compelled to offer higher salaries to remain competitive and attract employees who command substantive salaries outside the norm for academia.

For example, an Assistant Professor who has a significant number of publications in breakthrough research and whose specialty is in great demand in Engineering, may command a salary significantly higher than an Associate Professor in Geography, who is working in their academic discipline as a generalist. All faculty salaries are reviewed and approved, prior to offer, by the Provost’s Office.

Salary increases during the faculty member’s appointment may include annual cost of living increases as well as merit awards. Merit and special achievement awards are intended to recognize above average performance in teaching, research, and service. Faculty merit awards are discretionary and may result in a wide range of salaries among those in the same rank. Please see **Exhibit 4** of this section for the contract language.

For UCPEA bargaining unit titles, contractual salary ranges are used. Salary ranges have been updated to reflect contractual salary changes.

For Classified titles, salary ranges for the titles’ pay plans are used. Salary ranges are updated to reflect collective bargaining union contracts.

ARTICLE 1

RECOGNITION

The Board of Trustees recognizes the University of Connecticut Chapter of the American Association of University Professors as the exclusive bargaining representative of members of the staff who are employed one-half time or more and who hold the following titles: University Professor, Professor, Associate Professor, Assistant Professor, Instructor, Assistant Instructor, Lecturer, Professor in Residence, Associate Professor in Residence, Assistant Professor in Residence, Instructor in Residence, Research Professor, Assistant Research Professor, Associate Research Professor, Academic Assistants I, II, III, IV, V, Research Associate I, II, III, Research Assistant I, II, III, Extension Professor, Clinical Professor, Senior Cooperative Extension Educator, Senior Cooperative Extension Educator In Residence, Associate Extension Professor, Associate Clinical Professor, Cooperative Extension Educator, Cooperative Extension Educator In Residence, Assistant Extension Professor, Assistant Clinical Professor, Associate Cooperative Extension Educator, Associate Cooperative Extension Educator In Residence, Extension Instructor, Clinical Instructor, Assistant Cooperative Extension Educator, Assistant Cooperative Extension Educator In Residence, Associate Research Scientist, Associate Research Scholar, Research Scientist, Research Scholar, Senior Research Scientist, Senior Research Scholar, Specialist I, II, III, IV, Adjunct Faculty, teaching courses for credit unless otherwise excluded, Facilities Scientist I, II, III, IV, V, Coach and Trainer excluding those classifications and titles listed below under EXCLUSIONS and all other supervisory, confidential, and managerial employees as defined in the Connecticut General Statutes Chapter 68 Section 5-270 (e) through Section 5-270 (g) for the purpose of negotiating with respect to wages, hours and other conditions of employment. Hereinafter for the purposes of collective bargaining, staff holding the above titles who are not excluded pursuant to the following paragraph are referred to as “faculty” or “members of the bargaining unit.”

Collective Bargaining Agreement between The University of Connecticut Board of Trustees And The University of Connecticut Chapter of the American Association of University Professors July 1, 2021 - June 30, 2025

Promotion, Tenure, and Reappointment (PRT) Procedures

Promotion, tenure, and reappointment review at UConn is a multi-level review process, allowing for objective evaluation of the substance and merits of each faculty member's case at each level of organization of the university. Evaluations for promotion, tenure, and reappointment apply the highest standards of professional achievement in scholarship, teaching, and service as appropriate to the responsibilities assigned to the faculty member. Information on this page addresses the policies and processes for both tenure-track and tenured faculty, and clinical, in-residence, and extension faculty and lecturers. The resources below are meant to help every individual understand and engage in the process.

COVID-19 Accommodations

In recognition of the significant challenges the COVID-19 pandemic has had on scholarly productivity, the University of Connecticut has provisioned the following accommodations.

Tenure Clock Extension for Tenure Track Faculty

In recognition of the significant challenges the COVID-19 pandemic has had on scholarly productivity, the Board of Trustees has passed a by-laws change that allows all tenure-track faculty employed with the University on or prior to March 1, 2021 a one-year extension of the tenure clock. As of May 19, 2021, the following language has been adopted into the By-Laws of the University of Connecticut:

“Given the disruptions presented by the COVID-19 pandemic and how they impact scholarly productivity, faculty holding tenure-track appointments are offered a one-year extension to the tenure clock. This extension shall apply to tenure-track faculty members who were employed by the University on March 1, 2020 and whose tenure case is scheduled to be reviewed in the 2020-2021 academic year or later. This extension shall also apply to tenure-track faculty members who began their employment between March 2, 2020 and March 1, 2021. The Provost's Office shall implement a procedure for eligible faculty to request the extension.”

Please review the [memo regarding the second round of COVID-19 tenure clock extensions](#).

Eligible faculty may request the COVID-19 tenure clock extension using the [COVID-19 Tenure Extension Request Form](#).

First Multi-Year Review Delay for Cire Faculty and Lecturers

The MOA between the University of Connecticut and the American Association of University Professors dated March 16, 2021 includes the following provision:

“3. Non-tenure track faculty in their final one-year appointment prior to becoming eligible for a multi-year appointment may request a one-year delay toward their P&R review for their initial multi-year appointment effective academic year 2021-22.”

This provision is applicable to faculty members who will have received six one-year appointments as of 8/23/21 and are due to submit for their first multi-year appointment in the PR review cycle beginning in fall 2021. Faculty who take this provision will be reviewed for a seventh one-year appointment in the PTR cycle commencing in fall 2021 and will be reviewed for the first multi-year appointment in the PR cycle commencing in fall 2022.

Dean's offices have been provided with additional information regarding faculty eligible for this provision and procedures for documenting delays. Please contact your dean's office with questions.

COVID-19 Impact Statements

The MOA between the University of Connecticut and the American Association of University Professors dated March 16, 2021 includes the following provision:

“5. Through the academic year beginning August 2023, faculty will have the opportunity in annual reports and PR/PTR portfolios to describe the effects of COVID-19 on their research, teaching, mentoring, and service.”

The Office of the Provost has developed guidance for faculty and review committees on COVID-19 Impact Statements and their use in the PTR-PR process.

[Please see the Office of the Provost's guidance for COVID Impact Statements.](#)

[Please see the Office of the Provost's guidance for consideration of COVID Impact Statements for PTR Committees, Deans, and Department Heads.](#)

Promotion, Tenure, and Reappointment Governance

Preamble

The University of Connecticut is dedicated to excellence demonstrated through national and international recognition. Through freedom of academic inquiry and expression, we create and disseminate knowledge by means of scholarly and creative achievements, graduate and professional education, and outreach.

“With our focus on teaching and learning, the University helps every student grow intellectually and become a contributing member of the state, national, and world communities. Through research, teaching, service, and outreach, we embrace diversity and cultivate leadership, integrity, and engaged citizenship in our students, faculty, staff, and alumni. As our state’s flagship public University, and as a land and sea grant institution, we promote the health and well-being of citizens by enhancing the social, economic, cultural, and natural environments of the state and beyond.”

A central tenet of our mission at the University of Connecticut is the pursuit of knowledge and discovery, with the understanding that faculty members have the right to academic freedom. A clearly articulated promotion and tenure system defines expectations and procedures that enhance success and fairness. Faculty tenure is a foundational pillar of academic freedom and allows the individual to pursue scholarship at the frontiers of knowledge. It allows for the pursuit

of activities in the classroom, research, and service to society without fear of retribution or reprisal. It is well established that security in this freedom is necessary to catalyze the creativity and innovation that are necessary to fulfill long-term benefits to society and to modulate emphases on short-term rewards.

As conveyed in the 1940 Statement of Principles on Academic Freedom and Tenure:

“Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institutions as a whole. The common good depends upon the free search for truth and its free exposition ... Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning.”

With these freedoms comes the responsibility to advance the research, teaching, and service mission of the University and, as such, the faculty members are held accountable in their performance. Consequently, ideal characteristics in faculty members are scholarly creativity, professional competence and leadership, the ability and desire to teach effectively, and the willingness to cooperate with others in a collegial fashion.

Bylaws of the University of Connecticut, Article XIV

[Bylaws of the University of Connecticut, Article XIV](#)

Collective Bargaining Agreement: American Association of University Professors (AAUP) and UConn

The collective bargaining agreement between the American Association of University Professors (AAUP) and UConn is available [on the Department of Human Resources website here](#).

Provost's Promotion and Tenure Guidance

The following Promotion, Tenure and Reappointment (PTR) procedures have been adopted by the faculties of the University of Connecticut (except those of the School of Medicine and the School of Dental Medicine) under the authority of the Laws and By-Laws of the University of Connecticut, Article XIV. They should be followed insofar as possible by all departments. If a school/college does not have departments, it should follow procedures bearing as much similarity to these as is reasonable. Each school/college and department may adopt and publish on their website additional criteria and policies that are consistent with the PTR policies and procedures presented here.

Introduction

When considering faculty for promotion or tenure, the University applies the highest standards of professional achievement in scholarship, teaching, and service. Each case is evaluated on its own merits based on the candidate's scholarship, teaching, and service since appointment. When specified in an appointment letter, work prior to joining the University may also be considered during an evaluation. In order to recommend that the University award tenure to a candidate, each Department and School or College must make a strong case that the candidate's work in scholarship, teaching, and service since appointment merits permanent employment in their field

of expertise. When considering a candidate for promotion to the rank of Professor, Departments and Schools or Colleges must consider the candidate's accomplishments since the award of tenure. Time served in the rank of Associate Professor is, on its own, not sufficient cause for promotion.

All tenure-track candidates must annually update and submit dossiers using the Promotion, Tenure, and Reappointment (PTR) form that has been adopted by the faculties of the University of Connecticut. The candidate's dossier will be reviewed annually by the Departmental Promotion, Tenure, and Reappointment (PTR) committee and Department Head, with the option of additional review by the School or College committees. Department Heads, or Deans in Schools without Departments, must annually meet with faculty members, including during their first year, to discuss past performance, appropriate goals, responsibilities, and expectations. In the case of joint appointments, both supervisors must meet annually with the candidate. At the conclusion of the third year, following reviews by the Departmental Promotion, Tenure, and Reappointment (PTR) committee, the Department Head, the School or College Promotion, Tenure, and Reappointment (PTR) Committee, and the Dean, the candidate's dossier is submitted to the Provost's Office for comprehensive review. A second review by the Provost's Office, usually for promotion and tenure considerations, is initiated at the conclusion of the fifth year and during the candidate's sixth year. In some exceptional cases, early review for tenure and promotion is permitted. It should be noted, that faculty members who wish to be considered for promotion and tenure before the end of the probationary period, will be evaluated by the same standards applied to faculty who have taken the full probationary period. Each year, the Provost's Office distributes timelines for the submission of dossiers and related materials.

Rights of the Faculty Member

Access: In accordance with Article 12 of the AAUP Collective Bargaining Agreement and consistent with Connecticut Freedom of Information statutes, in the presence of a staff member, and at a time convenient to both parties, the faculty member shall have access to his/her full Promotion, Tenure, and Reappointment (PTR) file at all levels, including all internal and external letters. The only others who shall have access to the Promotion, Tenure, and Reappointment (PTR) file are (1) administrators and faculty members on official business and (2) AAUP representatives with the consent of the faculty member. A faculty member may at any time obtain a copy of material in the files, for which the faculty member may be charged a cost. If requested, copies shall be authenticated by an appropriate administrator. In addition, the Promotion, Tenure, and Reappointment (PTR) file shall not include any anonymous material.

Appeal: If a faculty member has reason to believe that he or she has been denied any of the protections provided for or has suffered through any failure to observe these procedures, the faculty member may seek redress through the grievance procedure described in the Laws and By-Laws of the University of Connecticut, Article XIV.

Responsibilities

The Faculty Member

It is the responsibility of the faculty member wishing to be considered for promotion, tenure, and/or reappointment to complete the Promotion, Tenure, and Reappointment (PTR) form or PR

form and submit this to the Department Head along with any supporting documentation he or she chooses to include or as may be required by the school/college and departmental procedures. These documents become the faculty member's dossier. The faculty member's Promotion, Tenure, and Reappointment (PTR) File consists of his or her dossier plus all other written materials accumulated as part of the Promotion, Tenure, and Reappointment (PTR) process.

All Tenure Track and Non-Tenure Track Faculty Members must:

- Provide to the Department Head a list of individuals with contact information who may serve as potential external references following the procedures detailed in Section IV in instances where the faculty member is applying for promotion or tenure;
- Any supplementary materials, including student evaluations of teaching, teaching portfolios, other evidence of teaching effectiveness, letters of acceptance for publications, reviews, reprints, etc., should be appropriately labeled and inserted as appendices in the Appendices section of the corresponding PTR-PR form, or provided through a URL.
- May add supplemental information to his or her Promotion, Tenure, and Reappointment (PTR) File at any time. Such information must be dated. No materials may be removed from a Promotion, Tenure, and Reappointment (PTR) File.
- After completing the relevant sections, the candidate should submit the form to the Department Head and retain a copy. The completed form along with all supporting documentation becomes the candidate's dossier.
- Upon request, a candidate may review, update, or withdraw his/her dossier during any step of the process.

In addition, CIRE & Lecturer Faculty Members must:

- The candidate is responsible for completing the Cover Page and the sections of this form that are applicable to their professional responsibilities. The candidate should consult with his or her Department Head to ensure that the information provided in this form is complete and in the correct format. The accuracy and completeness of these sections are the responsibility of the candidate.

The Department Head

Under the Promotion, Tenure, and Reappointment process for tenure-track faculty, the Department Head must:

- shall annually appraise the performance and potential for teaching, scholarship and/or creative accomplishments, and service of each faculty member eligible for promotion, tenure, and reappointment in his or her department;
- shall include for consideration for promotion and/or tenure all those who request in writing that they be considered;
- shall obtain and provide to the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee external letters of reference for each faculty member being considered for promotion and/or tenure following the procedures detailed in Section IV;
- shall obtain information requested from joint appointment or other supervisory sources as the Dean of the Graduate School, Directors of the regional campuses, and Directors of pertinent centers and institutes, and shall make this information available to the Committee;

- shall follow prescribed procedures (see next section).

In addition, under the PR process for CIRE faculty, the Department Head must:

- The Department Head is responsible for ensuring the completion of Section Eight, Parts A, B & C. The Department Head summary should carefully state the opinion of the Department Head about reappointment, promotion, or where appropriate, multi-year appointment, as well as those of the candidate's colleagues and students, and others whose opinions may be useful. The written report of the Departmental Advisory Committee should be included as Section Eight, Part A. In cases where the judgment of the Department Head differs from the advice he/she has received, all views should be recorded.
- The Department Head must obtain letters of reference (required for promotion) and should be inserted in Section Eight, Part F.
- After making his/her recommendation, the Department Head will forward the dossier to the Dean.

Please review the following resources available on the Promotion, Tenure, and Reappointment SharePoint:

- [Guidelines for Evaluation of Faculty Contributions in PTR-PR Review](#)
- [Interpreting SET Guidelines](#)
- [External Reference Letter Request Sample](#)

The Departmental Promotion, Tenure, and Reappointment Advisory Committee

Each department shall have a Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee selected according to a method approved by a majority of the Departmentally determined eligible faculty voting members. This Committee:

- shall advise the Department Head on promotion, tenure, and reappointment;
- shall review the faculty member's PTR File and appraise the performance and potential for teaching, scholarship and/or creative accomplishments, and service of the individual under consideration, basing its evaluations on the criteria listed in the By-Laws of the University of Connecticut, Article XIV (revised August 5, 2015). This evaluation should take into account the assignments of the individual;
- shall advise the Department Head by making a formal recommendation by vote and summarizing its evaluation and vote in a written report;
- shall follow prescribed procedures (see next section).

In addition, schools that are non-departmentalized (Law, Nursing, and Social Work) use a slightly different procedure for obtaining input from advisory committees other than a Departmental Advisory Committee or a Department Head. Additionally, it is perfectly appropriate to have review committees that focus on the CIRE faculty members and Lecturers. This protocol should be disseminated to the faculty in each school.

The Dean

- shall review the Promotion, Tenure, and Reappointment (PTR) file received under these procedures and such other pertinent information as he or she may require;
- shall base his or her recommendations, insofar as possible, upon a uniform application throughout the school/college appraisal criteria;
- shall include a written assessment of the faculty member's strengths and weaknesses in teaching, scholarship and/or creative accomplishments, and service;
- shall forward the dossier to the Provost where the action permits (Midpoint Review, Promotion, Tenure)
- shall follow prescribed procedures (see next section).

In addition, under the PR process for CIRE faculty, the Dean must:

- The Dean is responsible for ensuring the completion of Section Eight, Parts D and E

The School/College Dean's Advisory Council

Each school/college shall have a Dean's Advisory Council on Promotion, Tenure, and Reappointment (PTR) composed of faculty members of the school/college selected by a method approved by the faculty in accordance with the following criteria:

- membership on the Council should be selected from tenured faculty who have been at the University of Connecticut for at least two years;
- those eligible to elect Council members should be department, or school/college members who hold tenure track appointments or planned continuing appointments;
- Department Heads should not serve as Council members;
- terms of Council members ordinarily should not exceed three years with staggering of terms to provide continuity;
- turnover of Council membership should be encouraged through restrictions on consecutive terms;
- an individual may vote at only one level (either at the department or the school/college level) on any faculty member under consideration.

The Dean's Advisory Council:

- shall review the faculty member's Promotion, Tenure, and Reappointment (PTR) File and appraise the performance and potential for teaching, scholarship and/or creative accomplishments, and service of the individual under consideration.
- shall advise the Dean and record a formal vote;
- shall follow prescribed procedures (see next section).

The Provost

- shall review the material received under these procedures and such other pertinent information as he or she may require;
- shall assure, insofar as possible, that recommendations are based upon uniform application throughout the schools/colleges of appraisal criteria;
- shall follow prescribed procedures (see next section).

The Faculty Review Board

The University shall have a [Faculty Review Board](#) to consider specific cases on promotion, tenure, and reappointment. The Faculty Review Board is composed of six non-administrative, tenured professors elected by the University Senate.

- shall consider the cases referred to it by the Provost under the procedures described below in Section II;
- shall review all the material received by the Provost, and may supplement this information with additional opinions;
- shall follow prescribed procedures (see next section).

Procedures

The Provost will determine specific timelines annually in accordance with the date of presentation to the Board of Trustees. Before the start of the Promotion, Tenure, and Reappointment (PTR) cycle, the Provost will publish the timelines for that year and will make available the Promotion, Tenure, and Reappointment (PTR) form and guidelines approved by the University Senate.

The PTR form is to be used for promotion, tenure, and reappointment of tenure track faculty in all schools/colleges.

The Reappointment, Multi-Year Appointment, and Promotion Form for Clinical, In-Residence, & Extension (CIRE) Faculty Members & Lecturers (the PR Form) shall be used for all promotions of CIRE faculty members and all instances in which a CIRE faculty member or Lecturer is receiving their first multi-year appointment. The form must be used for all promotions and appointment to the first multi-year appointment. It may also be used for the reappointment of CIRE faculty members and Lecturers to one-year appointments, as well as multi-year appointments after the first such appointment. Formal review of In-Residence and other 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. In the case of promotion of Article 13 and Research faculty only, the faculty members file requires a review and recommendation at all levels including the Provost.

Review Process

Form Submission

- It is the responsibility of the faculty member wishing to be considered for promotion, tenure, and/or reappointment to complete the Promotion, Tenure, and Reappointment (PTR) form and submit this to the Department Head along with any supporting documentation he or she chooses to include or as may be required by the school/college and departmental procedures. These documents become the faculty member's dossier. The faculty member's Promotion, Tenure, and Reappointment (PTR) File consists of his or her dossier plus all other written materials accumulated as part of the PTR process. Supplemental information can be added to the Promotion, Tenure, and Reappointment (PTR) File by the faculty member at any time. Such information must be dated. No materials may be removed from a Promotion, Tenure, and Reappointment (PTR) File.

- The faculty member may request withdrawal from consideration for promotion in writing at any stage in the process prior to the Provost's recommendation to the Board of Trustees.

Departmental Review

- The Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee shall receive from the Department Head the dossiers of all faculty members to be considered for promotion, tenure and/or reappointment.
- The Department Head shall collect pertinent information from such joint appointment and supervisory sources as the Dean of the Graduate School, Directors of regional campuses, Directors of centers and institutes, and other qualified individuals, and shall make this information available to the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee.
- As part of its review, the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee shall provide to the faculty member and to members of the Department who so desire an opportunity either to appear before the Committee or to submit written statements to the Committee.
- The Committee, after its review, shall provide the faculty member with an opportunity to appear before the committee to discuss substantive negative findings.
- The Committee shall report its recommendations and appraisals with supporting evidence in writing to the Department Head. If the Committee's recommendation is not unanimous, its report shall include the dissenting opinions with supporting data. Rather than using words such as "unanimously" or "by majority," votes should be indicated numerically along with a key in the form: 6-1-2-1 (Yes, No, Abstain, Absent).
- The Department Head, after his or her review, shall provide the faculty member with an opportunity to discuss substantive negative findings. The Department Head shall discuss his or her recommendation with the Committee.
- The Department Head shall inform the faculty member of the recommendations by the Department Head and by the Committee, including the substance of any dissenting opinions. Reasons for a negative recommendation shall be in writing if either the Department Head or the faculty member so wishes.
- The Department Head shall transmit to the Dean in writing his or her recommendations for promotion, tenure and/or reappointment, together with those of the Committee, the supporting data, and dissenting opinions. In the case of promotion to Full Professor, when neither the Committee nor the head recommends a promotion, no recommendation need be transmitted to the Dean unless specifically requested by the faculty member or the Dean.
- If either the Department Head or the Committee makes a negative recommendation to the Dean, the faculty member may submit to the Dean a written statement presenting his or her case for consideration by the Dean and the Dean's Advisory Council. The faculty member must submit this statement to the Dean within one week after being informed in writing of the recommendation by the Department Head.

School/College Review

- The Dean’s Advisory Council shall receive from the Dean and review the recommendations and supporting materials received from the Department Head.
- The Council shall provide an opportunity for the faculty member to appear before the council to discuss any substantive negative findings.
- The final recommendation of the Council will be forwarded in writing to the Dean. Rather than using words such as “unanimously” or “by majority,” votes should be indicated numerically along with a key in the form: 6-1-2-1 (Yes, No, Abstain, Absent).
- If, after review, the Dean is inclined toward a negative finding, he or she shall provide an opportunity for the faculty member to discuss any substantive negative findings within a reasonable timeframe.
- If the Dean anticipates that he or she may be making a recommendation contrary to that of the Department Head, the Dean shall provide an opportunity for the Head and the Departmental PTR Advisory Committee to review and supplement their original recommendations.
- The Dean shall inform the Department Head and the faculty member of the recommendations by the Dean’ Advisory Council and the Dean. If either the faculty member or the Dean so wishes, reasons for a negative recommendation shall be in writing.
- The Dean shall transmit to the Provost in writing his or her recommendations and those of the Dean’s Advisory Council, the Department Head, and the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee, together with any dissenting opinions. When recommendations differ, the Dean must include a statement explaining his or her recommendation.
- Positive recommendations by the Dean for faculty in their six-year probationary appointments, with the exception of midpoint review year, will be forwarded to the Board of Trustees with no further review.

University/Provost Review

- The Provost, Dean, and Department Head shall meet to review any Promotion, Tenure, and Reappointment (PTR) cases selected by the Provost. These may include those where there has been a lack of unanimity or in which the Provost’s recommendation may differ from that of the Dean or Department Head. In these cases, opportunity shall be provided to the Department Head and Dean to review and supplement the original recommendation.
- The Provost, after his or her review, shall provide the faculty member with an opportunity to discuss substantive negative findings.

Board of Trustees Approval

- The Provost shall make recommendations to the President for the granting of promotion and/or tenure by the Board of Trustees no later than the April meeting of the Board. In the case of reappointment, action will be taken by the President, who will inform the Board of Trustees of his or her decisions (per the [Laws and By-Laws of the University of Connecticut, Article II](#)).

Further Review and Appeal

- The Provost shall refer to the Faculty Review Board for its consideration:
 - those cases whose referral was requested by a faculty member or Department Head;
 - those cases where following a discussion the Provost's recommendations still differs from that of a Dean;
 - other cases that the Provost wishes to refer.
- The Faculty Review Board shall provide the faculty member with an opportunity to discuss the case. The Faculty Review Board shall discuss each case with the Provost.
- For each case, the Faculty Review Board shall submit a written recommendation to the Provost and shall inform the faculty member in writing of its recommendation, together with reasons for it.
- If the Provost makes a negative recommendation, the reasons shall be in writing if the faculty member so requests.
- Per the [Laws and By-Laws of the University of Connecticut, Article XIV](#), at the end of the sequence of peer reviews (including the Faculty Review Board), a faculty member may appeal a negative decision by the Provost to the Committee of Three.

Letters of Reference

The Department Head is responsible for obtaining the external letters of reference. Both the faculty member, and the Department Head and/or the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee, should each create a list of five or more names of potential external reviewers. The Department Head should request at least half of the total number of letters from names on the faculty member list. The remaining letters should be requested from the Department Head and/or the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee list.

Each external evaluation letter in the PTR/PR file should be accompanied by a copy of the letter used to solicit the evaluation. If a common template was used to solicit all of the candidate's letters, a single copy of the specific template used for the candidate can be included. In addition, the PTR/PR file should include an indication of which letters are from individuals suggested by the faculty member and which are from individuals suggested by the Department Head or Departmental PTR/PR Advisory Committee.

Reference letters should be obtained from tenured faculty, or scholars of equivalent stature, in the faculty member's field outside of the university who can speak to his or her professional contribution to scholarship and/or creative accomplishments. It is important to solicit an impartial evaluation of the faculty member's contributions to the field. These external letters should not be from close acquaintances, former mentors, or frequent collaborators. Letters of reference for faculty members for promotion to full professor must be obtained from individuals who hold this or an equivalent rank. It is recommended that these letters include a signature from the reviewer and be on institutional letterhead where it is appropriate.

At a minimum, the Department Head should provide the following to external referees. The Office of the Provost has provided a [sample letter on the PTR SharePoint](#).

- the faculty member's complete curriculum vita;
- Information about the nature of the faculty member's appointment that could be relevant in evaluating his/her scholarly and/or creative achievements (e.g., joint appointments, administrative appointments and directorships, regional campus appointments).
- copies of the faculty member's major publications or creative works as identified by the faculty member;
- an explicit statement of what the faculty member is being considered for and whether or not the decision is mandatory with respect to tenure;

Each letter requesting an evaluation from an external reviewer must include the following explicit statement: "Your letter will become part of a faculty member's Promotion, Tenure, and Reappointment (PTR) file, which will be viewed by faculty and University administrators involved in the PTR process. In addition, under State of Connecticut Freedom of Information statutes governing state employees and the University's AAUP collective bargaining agreement, the faculty member may request access to his or her PTR file and may see the letters of reference."

In addition, each letter of request should ask the external referee to provide:

- his or her relationship to the faculty member (if any);
- an assessment of the quality and impact of the faculty member's scholarship and/or creative accomplishments, and, if appropriate, professional service.

Promotion, Tenure, and Reappointment (PTR) Form (New) Requirements

A minimum of five external letters of reference for faculty members being considered for promotion and/or tenure must be in the Promotion, Tenure, and Reappointment (PTR) File prior to final recommendation by the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee for faculty utilizing the Promotion, Tenure, and Reappointment (PTR) Form for tenure track faculty. All solicited reference letters that are received must be included in the Promotion, Tenure, and Reappointment (PTR) File. If further letters are later obtained, then those letters must be sent to the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee for their review for possible modification of their initial recommendation.

CIRE Form Requirements

A minimum of four letters of reference for faculty members being considered for CIRE & Lecturer Faculty Members for promotion must be in the PR File prior to final recommendation by the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee for faculty utilizing the PR Form for CIRE faculty & Lecturers. At least two of the four required letters should be external. In the case of clinical or extension faculty, one of the external letters can be from the individual's clinical site or from an extension stakeholder.

Promotion, Tenure, and Reappointment (PTR) Form (Legacy) Requirements

A minimum of four external letters of reference for faculty members being considered for promotion and/or tenure must be in the Promotion, Tenure, and Reappointment (PTR) File prior to final recommendation by the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee for faculty utilizing the Legacy Promotion, Tenure, and Reappointment

(PTR) Form for tenure track faculty. All solicited reference letters that are received must be included in the Promotion, Tenure, and Reappointment (PTR) File.

Permanent Residency Requirement for Tenure Track Positions

Since an award of tenure results in a continuing and permanent appointment without expiration, the University of Connecticut will not grant tenure in the absence of permanent residency. It is the obligation of the faculty member in a tenure track position to pursue permanent resident status in a timely manner. It is important that the faculty member work with the University of Connecticut's General Counsel to ensure that this is achieved during the probationary period. Faculty members who through no fault of their own are unable to obtain permanent resident status at the time of tenure eligibility and are still authorized to work in the United States will be eligible for continued employment and advancement of rank pursuant to the applicable Promotion, Tenure, and Reappointment (PTR) procedures but will not be eligible for the accompanying award of academic tenure by the Board of Trustees until permanent residency is established.

Offer of Tenure Upon Hire

Tenure at hire should be granted only in exceptional cases and to individuals who have a demonstrated record of scholarly accomplishment.

Tenure at hire for individuals who are tenured at a peer institution:

- The Department Head compiles the individual's curriculum vita and letters of recommendation used in the hiring process. This becomes the faculty member's dossier.
- The Department Head obtains the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee recommendation and submits this along with their own recommendation to the Dean;
- The Dean obtains the Dean's Advisory Council recommendation and forwards this along with their recommendation and the individual's dossier to the Provost.
- The Provost will evaluate these recommendations and notify the Dean whether they support offering the individual tenure at hire;
- The Provost will forward their recommendations to the President for approval by the Board of Trustees.
- Following a vote by the Board of Trustees, the Provost will send a letter to the faculty member reporting the Board's decision.

Tenure at hire for individuals who do not have tenure at a peer institution:

If a faculty member being appointed at UConn does not have tenure at a peer institution, then the Provost would not normally expect to recommend tenure on appointment. However, in exceptional cases the faculty member may be considered for tenure on appointment. These exceptions will be dealt with on a "case by case" basis, ensuring that the integrity of the tenure process is protected. In these situations (as with regular evaluation for tenure at UConn), the following steps should be followed:

- The Department Head compiles the individual's curriculum vita and letters of recommendation used in the hiring process. Additionally, the Department Head obtains

three external letters of evaluation that are independent of those submitted on behalf of the faculty member as a part of the application process. These letters should speak to the scholarship and/or creative accomplishments of the candidate being recommended for tenure at hire. This becomes the faculty member's dossier;

- The Department Head obtains the Departmental Promotion, Tenure, and Reappointment (PTR) Advisory Committee recommendation and submits this along with their own recommendation to the Dean;
- The Dean obtains the school/college Dean's Advisory Council recommendation and forwards this along with their recommendation and the individual's dossier to the Provost.
- The Provost will evaluate these recommendations and notify the Dean whether they support offering the individual tenure at hire;
- The Provost will forward their recommendations to the President for approval by the Board of Trustees.
- Following a vote by the Board of Trustees, the Provost will send a letter to the faculty member reporting the Board's decision.

AAUP CLASSIFICATION AND COMPENSATION

- Faculty Titles Dictionary

- AAUP Faculty Minima

The AAUP faculty minima for the upcoming academic year, 2023-2024 is as follows:

- Associate Professor - \$65,678
- Professor - \$89,532

- Reclassification Request for Research Assistants/Research Associates/Academic Assistants Form .pdf

Reclassification requests will not be reviewed without:

- Completed change in responsibilities noted in the form,
- an organizational chart, and
- a copy of the employee's current resume.

Once the form has been completed with the required signatures and requested documentation, please forward to Workforce Solutions at workforce@uconn.edu or email your HR Specialist.

ARTICLE 25
MERIT

Merit is for the recognition of noteworthy contributions to one's department, school, campus or college, the University and or professional discipline through the traditional avenues of teaching, research and service. It is also the most consistent means for moving beyond the cost-of-living increase traditionally recognized through the satisfactory performance increase provision. It is recognized that conditions vary within and among departments in terms of individual expectations, and it is agreed that awards at the various levels are designed to recognize individual achievement.

25.1 This article does NOT refer to Research Assistants or Research Associates paid from grant funds or contracts or to members of the bargaining unit employed in the division of Athletics.

25.2 The merit pool shall be distributed according to the procedures outlined below:

A. The Provost shall establish a contingency fund and shall distribute the remainder of the merit pool at their discretion among the Deans of the schools and colleges and to leadership for units with reporting lines outside of a school or college.

B. The Dean of a school or college shall establish a contingency fund from the merit pool allotted to their school or college by the Provost. The remainder of the merit pool, excluding an amount for department heads' merit and an amount for bargaining unit members not affiliated with an academic department, shall be distributed at the discretion of the Dean among the departments. The Dean shall reserve an amount from the departments' merit pool equal to the merit associated with the department heads' payroll and the payroll of bargaining unit members not affiliated with an academic department. Prior to the beginning of the academic year, the Dean will publish their merit criteria to faculty and for Department Heads within their school.

C. The total amount of the contingency funds of both the Provost and the Deans shall not exceed 30% of the merit pool.

D. Consistent with the procedures outlined in Article 30, in departmentalized schools each department may establish, by a majority vote, the criteria and also may establish priorities or the appropriate weighting of such criteria, that will be used to determine the departmental merit recommendations. In non-departmentalized schools equivalent arrangements shall be established by Deans and faculty members. By means of a procedure approved by a majority of the faculty, departments (and their equivalents in non-departmentalized schools) may establish advisory committees for making recommendations for merit awards to the Department Head. Such committees may also present merit evaluations without mention of a dollar amount to the Dean for their consideration in determining the Department Head's merit award. In the event a department decides to permit the Department Head to establish the criteria and the appropriate weighting for merit recommendations, the Department Head shall inform all members of the bargaining unit in writing of such criteria no later than two months prior to the commencement of the academic year for which merit recommendations will be made.

E. In determining the merit awards for Department Heads, Deans shall consider any department merit criteria for eligible faculty in evaluating the Department Head's contributions in discipline specific areas.

F. Department Heads shall take departmental committee recommendations into consideration when making their own merit recommendations. In concert with the PTR and P&R requirements identified in the By-Laws, merit criteria shall include instructional, scholarly, service, and outreach excellence as appropriate.

G. Prior to the Department Head making a recommendation to the Dean, the Department Head shall inform each bargaining unit member of the merit recommendation for that bargaining unit member. A bargaining unit member has seven (7) calendar days from receipt of the Department Head's recommendation to request a meeting with the Department Head to discuss their merit recommendation. The Department Head shall inform each bargaining unit member when their merit recommendation is submitted to the Dean. The bargaining unit member has fourteen (14) calendar days from the time of the Department Head's submission to the Dean to discuss the Department Head's recommendation with the Dean.

H. On forms provided by the Provost, Department Heads shall forward their merit recommendations for members of their departments, other than themselves, along with recommendations of the advisory committee, to the Dean of the school or college. If a merit award is recommended, it shall be no less than \$500.

I. Prior to the Dean making a recommendation to the Provost, the Dean shall inform each bargaining unit member of their merit recommendation if it differs from the department head's recommendation.

J. A Department Head or bargaining unit member not affiliated with an academic department, or Director of non-departmental schools, has seven (7) calendar days from receipt of the Dean's recommendation to request a meeting with the Dean to discuss their merit recommendation.

K. The Dean shall review the recommendations of the Department Head and the departmental advisory committee, if any. The Dean shall forward their own recommendations to the Provost together with the recommendations of the Department Head and the departmental advisory committee, if any.

L. Within two weeks of making their recommendations to the Provost, the office of the Dean shall compile and make available to the departments an abstract of merit recommendations. Similarly, the Dean shall compile and make available to department heads an abstract of merit recommendations for the department heads. Such an abstract will give the number of people receiving a given range of award within the school and/or no award.

M. Departments and interdisciplinary units employing jointly appointed bargaining unit members shall agree upon a merit process for such faculty. The home department shall administer the merit award process and use its own merit criteria. The department will treat contributions towards interdisciplinary scholarship and creative work, the teaching of courses for the home and interdisciplinary unit, and service to the department and interdisciplinary unit according to criteria determined by the department and interdisciplinary unit. The Directors of Institutes and other interdisciplinary units shall advise the home department and department heads of the faculty member's performance in their interdisciplinary field, including the significance of the faculty member's publications within interdisciplinary fields. A designee of the Provost shall establish merit procedures for Institute and Center Directors, and notify them of said procedures at the time of appointment.

25.3 The University will provide UConn-AAUP a list of merit awards by fund and by individual on or before October 1 of the year in which it was awarded.

25.4 Merit awards shall be communicated to the bargaining unit member via the University email system prior to the increase appearing in their paycheck.

25.5 Judgments and decisions of the Provost which result in decrease of more than 35% in the Department Head's recommendations or the Dean's recommendation for department heads are subject to the grievance procedure described below only where there is evidence alleging that the decrease was arbitrary or capricious.

25.6 Merit Grievance Panel For the purpose of hearing merit grievances, an internal merit grievance panel shall be convened made up of one member of the administration chosen by the Provost, one member of the bargaining unit chosen by UConn-AAUP, and a neutral party chosen by the first two individuals. The panel may either uphold or dismiss the grievance. In a case where the panel upholds the grievance, it shall recommend an appropriate merit award; however, in no case shall the panel award more than what the Department Head had originally proposed. The decision of the panel is final and is not grievable or arbitrable. Grievances on merit must be presented to the University Official in charge of collective bargaining within fourteen (14) calendar days of the receipt of the Provost's letter notifying the employee of their merit awards.

Collective Bargaining Agreement between The University of Connecticut Board of Trustees and The University of Connecticut Chapter of the American Association of University Professors July 1, 2021 - June 30, 2025