The APPC met on October 13, 2017 to review our discussion of the proposed Guidelines for Track Transfers across Tenure (TE), Continuing-Status (CE), and Nontenure-eligible Career Track (CT) Positions. As previously reported, the APPC members thought that the initial draft did not require sufficient review by faculty for CT faculty transferring to TE or CE status. After discussion, Tom Miller revised the Guidelines to require review by both departmental and college P&T committees in most cases, although “if approved by the Office of the Provost, a college-level peer review may not be required if the review needs to be expedited to work within pressing time constraints.” Thus, the departmental committee review is required in all cases as these are likely to be the faculty members most involved and aware of the transfer. The latest interim track transfer guidelines are attached.

We then considered the following issues related to track transfer procedures:

1. Would track transfer from CT to TE or CE position require a search or external letters?
   a. The noncompetitive selection policy in UHAP 2.06.14 section 7 states that advancement to a higher title does not require external letters to support the change. See: [http://policy.arizona.edu/human-resources/noncompetitive-selection](http://policy.arizona.edu/human-resources/noncompetitive-selection)
   b. APPC members thought this was a reasonable explanation for why the policy requires submission of only dossier sections 1, 2, 3, 4, 5, 6, and 11 (no external letters).

2. Does the period of time in which the faculty member is on CT “count” toward P&T when the individual returns to the TE/CE track?
   a. There is little direct guidance on this in UHAP, however a transfer to CT is similar to a clock delay, but more open-ended for necessary reasons (e.g., clinical faculty taking over a clinical service for an extended period). UHAP section 3.3.01.A. states, the “University will not subject a faculty member who has been granted a promotion clock delay under this section to additional scholarship or service requirements above and beyond those ordinarily required to qualify for retention or promotion.” Also, in Section 3.1.01.b. Computing Prior Service... states, “At the time of appointment, faculty members will be notified in writing regarding how much of their prior service will be counted in scheduling their mandatory tenure reviews.” Together, these statements suggest that the Provost could determine the tenure-eligibility period, and that the CT period is not excluded any more than the clock delay period is excluded from review.
   b. APPC members thought it was reasonable to allow flexibility in regard to this issue. We agree with Tom Miller that ”work done prior to the period in rank is generally considered as part of the body of the work that is under review. We focus on productivity in rank, but we do not ignore prior work.”

Next, we considered a related issue in the policy on Noncompetitive selection UHAP 2.06.14. Section 2c states that “individuals may be hired without competitive recruitment if they are named in a new employee’s letter of offer, and provides the example of a Research Associate employed by the researcher’s previous employer. We discussed whether CT faculty named in a new employee’s letter of offer require P&T review. APPC members agreed that TE and CT faculty named in a new employee’s letter of offer should typically undergo P&T review like all other CT faculty appointments. A statement to that effect was drafted, taking into account the occasional need for expedited approval, and will be voted upon at the next meeting.

The APPC will also begin consideration of two additional policies, the proposed draft Guide to the Five-Year Review Process, and an update of the Statement on Professional Conduct (UHAP 7.01).
Guidelines for Track Transfers across Tenure, Continuing-Status, and Nontenure-eligible Career-Track Positions

Faculty can transfer across tenure, continuing-status, and nontenure-eligible career-track appointments with the approval of the Provost following recommendations by the designated committees and administrators, including the Senior Vice President for Health Sciences in the colleges of Medicine, Nursing, Pharmacy or Public Health. Track Transfers may be made throughout the year but should be based on annual performance reviews and related discussions with department heads or program directors and deans. Transfers to tenure-track and continuing-track appointments must include peer reviews by faculty in the unit and should consider hiring priorities and program needs as well as faculty members’ performance. All such appointments are governed by the related policies in the University Handbook for Appointed Personnel and the ABOR Policy Manual. The following procedures are guidelines that may need to be adapted to individual situations in consultation with deans and the Office of the Provost. Colleges may also establish additional procedures.

For transitions within the career-track (CT) from lecturers to nontenure-eligible professor appointments, candidates should submit a complete promotion dossier following the procedures in UHAP 3.03.3. As required in UHAP 3.03.3.E, reappointments of lecturers to CT professor titles involve the conversion of a position and must be “justified by increased responsibilities such as expanded teaching or supervisory duties.” This change in duties should be noted in the workload assignment in the promotion dossier.

For track transfers from tenure-eligible (TE) or continuing-eligible (CE) appointments to career-track positions or other year-to-year appointments, little documentation is required. To request a transfer to a CT nontenure-eligible appointment or other year-to-year appointment, TE or CE faculty members should consult with their department heads or school directors. Following upon such consultations, the following document should be submitted to the Provost’s Office:
- Memo from faculty member or CE professional requesting the change,
- Curriculum Vitae,
- Brief recommendation from director or department head, and
- Endorsement from the appropriate dean.

Such changes in appointments should be completed before the year of a candidate’s mandatory review as noted in UHAP 3.1.01G – Changes in Appointments and Rehires of Tenure-eligible and Tenured Faculty. Once a candidate’s dossier reaches the Provost’s Office for review in January, a transfer to a CT appointment may not be possible. Appointments to CT positions after being turned down for tenure or continuing status are only possible through an appeal to the President, as discussed in UHAP 3.1.01G.

For track transfers from CT to TE or CE appointments, the following sections of the appropriate promotion dossier should be reviewed by a departmental committee, director or head, college committee, and dean. If approved by the Office of the Provost, a college-level peer review may not be required if the review needs to be expedited to work within pressing time constraints, for example with a retention case or a job offer. Following the departmental and college reviews, the materials should be forwarded for approval to the Provost, and also the Senior Vice President for Health Sciences, if the position is in the colleges of Medicine, Nursing, Pharmacy, or Public Health. With guidance from the Provost’s Office, these materials may be amended to fit individual situations, as for example with ad hoc reviews to retain a candidate or with a review of a candidate who was previously in a TE position.
• Section 1: Summary Data Sheet, including prior service as appropriate
• Section 2: Workload Assignment
• Section 3: Promotion Criteria for Department and College
• Section 4: Curriculum Vitae
• Section 5: Candidate Statement
• Section 6: Teaching Portfolio
• Section 11: Recommendations from a departmental or college committee, head or director, dean and Senior Vice President for Health Sciences for candidates from related colleges.

For transfers from CT positions to appointments with tenure or continuing status, a full promotion review should be conducted using the appropriate promotion dossier and review process, including external reviews, unless otherwise approved by the Office of the Provost. The number of years in the prior position should be documented on the Summary Data Sheet in the Promotion Dossier.