Standing Rules of the Institute of Arctic & Alpine Research

I. Time Stamp

INSTAAR’s standing rules were revised in 2021 by the Office of the Director. Sections I through IV were reviewed by the Executive Committee and presented to the Directorate in November 2020. Sections I-IV were approved by voting procedure by the Directorate in January 2021. Additional sections of the standing rules will be approved and added to this document throughout the year.

II. INSTAAR's Titles

A. Comparison of INSTAAR titles with Univ. of Colorado HR classifications

<table>
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<tr>
<th>INSTAAR Rank</th>
<th>INSTAAR role &amp; responsibilities</th>
<th>CU HR classification</th>
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</thead>
<tbody>
<tr>
<td>Fellow-Emeritus</td>
<td>non-voting Directorate member</td>
<td>Emeritus Professor / Sr. Research Associate / Professor</td>
</tr>
<tr>
<td>Senior Fellow</td>
<td>voting Directorate member</td>
<td>Professor / Associate Professor / Research Professor / Associate Research Professor / Senior Research Associate</td>
</tr>
<tr>
<td>Fellow</td>
<td>voting Directorate member</td>
<td>Assistant Professor / Assistant Research Professor / Senior Research Associate</td>
</tr>
<tr>
<td>RS III, SRS</td>
<td>Institute member eligible to become a Senior Fellow</td>
<td>Research Associate / Senior Research Associate</td>
</tr>
<tr>
<td>RS II</td>
<td>Institute member eligible to become a Fellow</td>
<td>Research Associate</td>
</tr>
<tr>
<td>RS I</td>
<td>Institute member not eligible to apply to become a Fellow. Represented at Directorate meetings by a representative</td>
<td>Post doc / Research Associate</td>
</tr>
<tr>
<td>Senior Professional Scientist, Professional Scientist I and II</td>
<td>Institute member generally not eligible to apply to become a Fellow. Represented at Directorate meetings by a representative</td>
<td>Senior PRA / PRA</td>
</tr>
<tr>
<td>Affiliate</td>
<td>Institute member not eligible to apply to become a Fellow. Not represented at Directorate meetings</td>
<td>wide range of University classifications; can also include non-CU scholars</td>
</tr>
</tbody>
</table>
B. Description of INSTAAR's titles

1. INSTAAR Fellows
   Fellows and Senior Fellows of INSTAAR are expected to contribute to the institute’s core mission and contribute to institute service by serving on committees, being active in INSTAAR governance, and by attending INSTAAR Directorate meetings on a regular basis.

2. INSTAAR Research Faculty ranks
   Research faculty ranks are designed to correspond to those of tenure-stream faculty. Research faculty are expected to maintain the normal, roughly 0/80/20 proportion of teaching, research and service, although these proportions can be subject to negotiation with the Director as needed to accommodate special circumstances. Research Faculty who teach during a given year will normally have a 20/60/20 teaching, research, service load.

   a. Research Scientist I
      RSI, otherwise known as a postdoctoral fellow, ordinarily pertains to an individual who has a recent (<five years) Ph.D. or equivalent. An RSI is expected to pursue research, either individually or as a member of a team.

   b. Research Scientist II (RSII)
      RSII is considered to be equivalent to a tenure-stream Assistant Professor title for tenure stream faculty and is attained by promotion after several (typically five) years of strong performance evaluations as an INSTAAR RSI (“exceeds expectation”) or, when appropriate, is granted to individuals hired with several years of post-doctoral work elsewhere. A RSII is expected to participate actively in research by solicitation of external support, publication in refereed journals, and presentation of papers at national scientific meetings. Furthermore, an RSII must demonstrate commitment to INSTAAR’S goals and mission. If not already appointed as a RSII, RSIII, or SRS, INSTAAR personnel who apply to become an Assistant Research Professor (https://www.colorado.edu/researchinnovation/hr/research-professor-series) must at the same time be considered for RSII status.

   c. Research Scientist III (RSIII)
      RSIII is considered to be the equivalent of the Associate Professor title for tenure stream faculty, is attained by promotion after 5 years of strong performance evaluations as an INSTAAR RSII (“exceeds expectations”) or, when appropriate, is granted to individuals hired with 6 to 10 years of independent research experience elsewhere at levels equivalent to a RSI or RSII. Similar to the RSII title, a RSIII must demonstrate commitment to INSTAAR’s goals and mission. A RSIII is expected to demonstrate accomplishment in research, including regular publication of articles in prestigious refereed journals, regular presentation of papers at national or international scientific meetings, and be successful in obtaining research support funding. In addition, the individual is expected to demonstrate a high level of commitment to the goals and mission of INSTAAR, and to provide service to the institute and profession by serving on external committees or organizing or chairing national and/or international meetings, workshops, etc. An RSIII is encouraged to
develop an academic relationship with an appropriate department at CU, particularly in order to mentor graduate students. If not already appointed as a RSIII or SRS, INSTAAR personnel who apply to become an Associate Research Professor (https://www.colorado.edu/researchinnovation/hr/research-professor-series) must at the same time be considered for RSIII status.

d. Senior Research Scientist (SRS)
SRS is equivalent to the title of Professor for tenure stream faculty and coincides with the existing University title of Senior Research Associate, for which standards and procedures are in place. The title pertains to an individual who, because of outstanding, sustained, and superior performance is recognized by their peers as an accomplished senior researcher in their field. Researchers with this title will have made outstanding contributions in research and achieved national and international recognition, as evidenced by original publications in internationally recognized peer-reviewed journals, service in national and international organizations and review groups, and continued research funding from peer-reviewed sources. Evidence of a long-term commitment to INSTAAR’s goals and mission is also required. If not already appointed as a SRS, INSTAAR personnel who apply to become a Research Professor (https://www.colorado.edu/researchinnovation/hr/research-professor-series) must at the same time be considered for SRS status.

3. INSTAAR Professional Scientist ranks
Professional scientist ranks are designated for individuals possessing competence to carry out research or scholarly work of a quality comparable to that produced by a graduate student. This corresponds to titles in the university system of “Professional Research Assistant” (https://www.colorado.edu/facultyaffairs/career-milestones/research-faculty-series). A Professional Scientist works in a collaborative role with a principal investigator and contributes substantively to the project. As a collaborator, the Professional Scientist may receive credit as author or coauthor of publications and technical reports, and shares instructional responsibilities in the research setting. An individual employed in this capacity is not enrolled as a student. The bachelor’s degree or equivalent experience is required for appointment to the Professional Scientist position. The title “Professional Scientist” is not used for individuals performing regular classified staff duties such as secretarial, clerical or accounting functions.

a. Professional Scientist I
This is an entry-level title for an individual competent to carry out research or scholarly work of a quality comparable to that produced by a graduate student. The Bachelor's Degree or equivalent experience is required for appointment to the Professional Scientist I title. After five years of strong (exceed or higher expectations) annual performance evaluations as an INSTAAR Professional Scientist I, an individual is eligible for promotion to INSTAAR Professional Scientist II.

b. Professional Scientist II
These individuals have B.S./B.A. degrees and at least five years of experience, either within their institute or department or elsewhere, or they hold recent (three years or newer) M.S./M.A. degrees, Professional Engineer’s certification, or equivalent
experience. After five years of strong annual performance evaluations as an INSTAAR Professional Scientist II, an individual is eligible for promotion to Senior Professional Scientist. (See under Standing Rules, "Appointments and Promotions of Professional Scientists").

c. Senior Professional Scientist
This title is coincident with the University title of Senior Professional Scientist. This title designates an individual possessing competence to carry out independent and high-quality research or scholarly work. Appointment to this position is a promotion above the rank of Professional Scientist II and most Senior Professional Scientists have specialized skills and experience. The Master's degree, Professional Engineer’s certification, or equivalent experience is required for appointment as a Senior Professional Scientist. An individual employed in this capacity is not enrolled as a student.

4. INSTAAR Affiliates
Affiliates participate in INSTAAR through collaborations and activities that will include more than one of the following:

- Collaborating with current INSTAAR scientists.
- Providing and attending seminars or lectures at INSTAAR.
- Interacting with INSTAAR graduate students and postdoctoral fellows.
- Participating on INSTAAR committees as appropriate.
- Providing a level of liaison with their host organization and INSTAAR.
- Attending institute meetings, retreats and social functions.
- Affiliates may wish to be a PI or Co-PI on research grants run through INSTAAR. Affiliates who wish to submit proposals through the institute should consult with their INSTAAR sponsor and the office of the Director well in advance of the submission deadline. Proposal submission may involve additional requirements at the institute and university levels; thus, it is recommended that Affiliates begin discussions with relevant INSTAAR personnel early. If an Affiliate can and will draw salary on a grant, then the Affiliate will be reappointed as an employee of CU, i.e., a Research Scientist.

III. INSTAAR Appointment Procedures

A. Appointment to the INSTAAR Directorate (How to become part of the governing body of INSTAAR)
Joining INSTAAR’s Directorate as a Fellow is not based on academic credentials alone. Prospective Fellows need to demonstrate a commitment to INSTAAR before being eligible for Fellow status. Additional details are provided in the subsections below.

1. Appointment as an INSTAAR Fellow as a tenured or tenure-track faculty member
   Individuals hired to fill a tenure or tenure-stream line in a joint search with one of INSTAAR’s partner academic units on the CU-Boulder campus following standard
search procedures, whether as an open or targeted search, are automatically voting members of the INSTAAR Directorate. Faculty are expected to maintain the normal, roughly 40/40/20 proportion of teaching, research and service, although these proportions can be subject to negotiation with the Director and appropriate Department Chair (and when needed the Deans of the appropriate School or College) as needed to accommodate special circumstances. INSTAAR tenure-stream members have their initial (hiring) salary determined by negotiation with the INSTAAR Director. INSTAAR faculty members are presently associated with the departments of ATOC, Geological Sciences, Ecology and Evolutionary Biology, Geography, Civil Environmental and Architectural Engineering, Environmental Studies, and Anthropology. Evaluation, promotion and raises start with the Annual Report of Professional Activities (see section IV and Appendix A).

Individuals who currently hold a tenured or tenure-track position in an academic unit on the University of Colorado Boulder campus, and who have developed significant active collaborative research with one or more members of the INSTAAR Directorate or otherwise can demonstrate active ties to the institute are eligible to apply for membership of the Directorate. It is expected that the candidate not only would have research interests that overlap with INSTAAR’s mission but that the candidate can also demonstrate a clear commitment to the long-term growth, innovation and positive culture of the institute. The candidate will request in writing to the INSTAAR Personnel Committee to join the Directorate as a Fellow and will provide the following:

- Letter of motivation of why the candidate wants to join the Directorate including an outline of current and/or likely future research collaborations with INSTAAR researchers.
- Current CV.
- Summary of recent scholarship including proposal activity.
- Contact information for six referees including at least two INSTAAR Directorate members and two referees external to CU.
- The candidate should contact INSTAAR’s Seminar Committee and arrange to present a research seminar to, and stand for questions from, the Directorate.

If the Personnel Committee deems that the information submitted is complete and the candidate has met the criteria outlined above, the Personnel Committee will present the candidate’s information and request to the Directorate. The Directorate will vote on the application, with a 2/3 majority required for acceptance. Normally, candidates will be tenured/tenure track in one of the Academic Units that have already developed a partnership with INSTAAR, but individuals from other academic units may also consider applying for membership in the Directorate. In such cases, the candidate must initially discuss their interest with the INSTAAR Director who will reach out to the Unit Head in the candidate’s tenure home to discuss the potential for a joint appointment. If a tenured or tenure-track faculty is approved as an INSTAAR Fellow or otherwise is relocated to INSTAAR, then the faculty member must change the Departmental Allocation of Indirect Cost Recovery, as defined by the institute and
in discussion with the original department. As appropriate, the Faculty member will also undergo annual review by both the original department and by the Institute.

INSTAAR Fellows undergo a review every 7 years to ensure appropriate contributions to the mission of the Institute. The timing of the review can be adjusted upon discussion with the Director to harmonize with departmental tenure or review processes (see reappointment procedures below).

2. **Appointment as an INSTAAR Fellow as a RSII, RSIII or SRS**

   Individuals who hold the University title of Research Associate and an INSTAAR title of RSII, RSIII or SRS are eligible to apply to become an INSTAAR Fellow and serve on the Directorate. Normally, candidates will have been an INSTAAR personnel for at least 5 years as an active member contributing to the institute’s research, mentoring, or outreach/engagement activities prior to being considered as a potential Fellow, though exceptions can be made in unusual circumstances. To be eligible for Fellow status, a Research Associate will have established a record of academic scholarship at least comparable to that of an Assistant Professor in a tenure-track position, with an emphasis on a track record of funded research, and a record of successfully mentoring graduate students, postdoctoral fellows, or undergraduate honor’s thesis students (i.e., mentoring students towards completing independent research projects). It is expected that the candidate not only would have research interests that complement INSTAAR’s mission but that the candidate can also demonstrate a clear commitment to the long-term growth, innovation and positive culture of the institute. The candidate will request in writing to the INSTAAR Personnel Committee to join the Directorate with the following information:

   - Letter of motivation of why the candidate wants to join the Directorate including an outline of current and/or likely future research collaborations with INSTAAR researchers.
   - Current CV.
   - Summary of recent scholarship including proposal activity.
   - Contact information for six referees including at least two INSTAAR Directorate members and two referees external to CU.
   - The candidate should contact INSTAAR’s Seminar Committee and arrange to present a research seminar to, and stand for questions from, the Directorate.

If the Personnel Committee deems that the information submitted is complete and the candidate has met the criteria outlined above, the Personnel Committee will present the candidate’s information and request to the Directorate. The Directorate will vote on the application, with a 2/3 majority required for acceptance.

INSTAAR Fellows undergo a review every 7 years to ensure appropriate contributions to the mission of the institute. The timing of the review can be adjusted upon discussion with the Director to harmonize with departmental tenure or review processes (see reappointment procedures below).
3. Appointment as an INSTAAR Emeritus-Fellow

A member of the INSTAAR Directorate in good standing and with a substantial history of contributions to INSTAAR but who no longer oversees research and educational programs that meets INSTAAR expectations may request to be considered for the honorary rank of Emeritus/Emerita-Fellow status. Emeriti members of the Directorate are not eligible to vote but are welcomed as members for normal Directorate meetings. To apply for INSTAAR Fellow-Emeritus status, INSTAAR Directorate members should submit a letter of intent to the INSTAAR Director. The case will be discussed and voted upon at an INSTAAR Directorate meeting with a 2/3 majority required for acceptance.

B. Appointment as an INSTAAR Senior Research Scientist (SRS), RSI, RSII, or RSIII

All INSTAAR Research Scientists report either to the INSTAAR Director, an INSTAAR Fellow, or an INSTAAR approved supervisor. Individuals who wish to be considered for a new appointment as an INSTAAR Senior Research Scientist, RSI, RSII, or RSIII should contact a relevant supervisor for discussion about a potential appointment. For Fellows, appointments are 7-year term renewable appointments coinciding with the Fellow reviews. For non-Fellows, INSTAAR Research Scientist status are 5-year term appointments, which can be renewed (see reappointment procedures below).

Appointment shall follow University rules and the following INSTAAR practices:

- The supervisor will conduct adequate reference checks on all candidates.
- Evaluations of candidates by INSTAAR supervisors will follow the INSTAAR professional code of conduct (See Appendix B). Supervisors will base hiring decisions on best practices and will determine the appropriate INSTAAR title using information in section II of INSTAAR’s standing rules.
- The supervisor will provide the Office of the Director: (a) the applicants current CV or resume; and (b) for appointment of SRS, RSIII, and RSII personnel, up to 5 of the applicant’s best publications. Under unusual circumstances, the Director may make recommendations about hiring decisions.
- The supervisor will: (a) discuss the level and logistics of any outside funds being transferred with the INSTAAR Finance Officer, and (b) discuss facility and space needs with the INSTAAR Director or Associate Director.

C. Appointment as an INSTAAR Professional Scientist

Appointment shall follow University rules and the following INSTAAR practices:

- The INSTAAR supervisor will conduct adequate reference checks on all candidates.
- Evaluations of candidates by INSTAAR supervisors will follow the INSTAAR professional code of conduct (See Appendix B). Supervisors will base hiring decisions on best practices and will determine the appropriate INSTAAR rank based on information provided in section II of the standing rules.
• The supervisor will: (a) discuss the level and logistics of any outside funds being transferred with the INSTAAR Finance Officer.
• Upon successful hiring, the supervisor will discuss facility and space needs with the INSTAAR Associate Director.

D. Appointment as an INSTAAR Affiliate

To be considered for INSTAAR Affiliate status, a candidate needs one or more sponsors to aid in their appointment as an INSTAAR Affiliate. Only INSTAAR Fellows can sponsor an INSTAAR Affiliate. Each applicant will send the INSTAAR Director a file that includes:

• A formal letter of application.
• A 2-page account of scholarship, achievements, and future directions, and how these fit into INSTAAR’s mission.
• Current CV or resume.
• Up to 5 of their best publications, reproductions of creative works, or other evidence of scholarly or creative activity.

The application packet will be reviewed first by the Office of the Director. If deemed appropriate and complete, the application packet will be made available to the Directorate for a two-week comment period. The Director will take any comments from Directorate members into account when reaching a final decision about the Affiliate application. If the application is viewed favorably, the Director will seek the advice of the sponsor to ensure that any logistical needs of the applicant will be met either by the sponsor or the sponsoring research group. The Director will write a formal letter acknowledging the success, or lack thereof, in regard to their standing as an Affiliate of INSTAAR. Affiliate application success or lack of success will be announced in a Directorate meeting so that the decision is formally recorded in the institute’s minutes and business record. Affiliate status is for a period of 4 years, which can be renewed (see reappointment procedures below).

E. Appointment to the Research Professor Series

These appointments must follow the strict guidelines defining that classification as defined by the CU Research and Innovation Office

https://www.colorado.edu/researchinnovation/hr/research-professor-series. Term lengths and reappointments are dictated by the RIO guidelines. The application packet will be submitted to the INSTAAR Director, referee letters obtained by the Personnel Committee and those materials will be made available to the INSTAAR Directorate for consideration and vote. If approved by the INSTAAR Directorate, the Director will provide the required information to RIO.

INSTAAR personnel seeking appointment to the Research Professor series will simultaneously be considered for appointment or promotion to the INSTAAR Research Scientist series as appropriate. For example, an INSTAAR personnel seeking appointment as an Assistant Research Professor will simultaneously be considered for appointment or promotion if needed to a RSII position. While the INSTAAR appointment procedures have been harmonized as much as possible with RIO’s procedures, it is the candidate’s responsibility to make sure they have
provided the Personnel Committee will all information required for the Research Scientist appointment procedures as well as the Research Professor appointment procedures.

IV. INSTAAR Personnel Promotion or Reappointment Procedures

A. Reappointment procedures for INSTAAR Fellow-Emeriti

INSTAAR Fellow-Emeriti are appointed for life. Thus, there is no subsequent need for reappointment, barring extenuating circumstances of a legal or moral nature, or any actions or behaviors that violate the CU or INSTAAR codes of conduct (Appendix B). The level of Institute support (including space) will depend on the level of activity within the institute and is at the discretion of the Director.

B. Promotion and reappointment procedures for INSTAAR Fellows (Directorate members)

Members of the Directorate (Fellows) will maintain an active research program, will be expected to contribute to INSTAAR’s mission through their research, service, outreach or teaching activities, and normally will have at least 50% salary, though exceptions can be made by the Director. Fellows are expected to attend Directorate meetings regularly (barring conflicts with university teaching assignments), contribute to INSTAAR governance, and contribute to INSTAAR service typically by serving on at least one of INSTAAR’s standing or ad hoc committees per semester. If a Fellow cannot meet these minimum expectations, then the Fellow should discuss with the Director the option of becoming a Fellow-in-absentia until conditions change. A Fellow-in-absentia retains rights and privileges of Fellows except for voting privileges. Fellows-in-absentia may attend Directorate meetings and contribute to discussions but cannot vote on INSTAAR matters. The Director has the discretion of assigning in-absentia status to a Fellow who does not meet the expectations outlined above. When this occurs, the Office of the Director will alert the Fellow in writing of this change in status. Once the Fellow-in-absentia is able to meet the minimum expectations of INSTAAR Fellows as described above, the in-absentia condition can be removed by the Director.

Fellows are evaluated annually by members of the INSTAAR Executive Committee on their research, teaching, and service accomplishments. Additionally, any information related to the Fellow’s ability to follow the ethical, financial, and personal guidelines outlined in INSTAAR code of conduct (See Appendix B), such as the ability to maintain professional interactions with Front Office staff and other INSTAAR personnel, also may be taken into consideration during the annual evaluations at the discretion of the Director. See Section xxxxx for details on annual evaluation metrics. If a Fellow receives “below expectation” evaluations in any category within the annual performance evaluation procedures for two years in a row, the Director may discuss whether continued status as an INSTAAR Fellow is warranted. In this situation, personnel may continue to be part of the institute but not serve on the Directorate. Personnel in this situation who wish to rejoin the Directorate as a Fellow must apply following the Appointment procedures in section IIIA. Fellows who engage in actions or behaviors that are found to violate the University of Colorado or INSTAAR codes of conduct will be permanently removed from the Directorate.
1. Annual performance evaluations for tenure-stream Fellows

For tenure-stream Fellows, annual evaluation for rank, promotion, and tenure is handled jointly by the institute and the individual’s academic department. See Sections xxx for details on what is considered during evaluation of tenure-stream faculty by the INSTAAR Executive Committee. The Director’s Office provides the Executive Committee’s annual evaluation to the appropriate Department Chair. The Director will provide feedback in writing annually, and from time to time discuss with the INSTAAR Fellow their teaching, research and service record. Fellows with 100% FTE rostered in RIO have their annual salary increases determined by the INSTAAR Director based on merit and equity. Fellows with 100% FTE rostered in a college have their annual merit raise determined by the guidelines of their primary tenure-home unit. For Fellows whose FTE is split between RIO and a college, annual salary increase typically is decided by INSTAAR and the tenure home department independently. If they differ, the unit giving the larger raise provides money to the other unit so that each unit provides the same contribution to the next year’s AY salary. The INSTAAR Director will take into account performance and salary of other comparable individuals within the Institute and the University. The Director and Executive Committee will employ an annual evaluation scheme that reduces the chance of bias or perception from influencing the decision (see annual appraisal plan for teaching, research, and service).

2. Annual performance evaluations for Research Faculty/Scientist Fellows

For Research Faculty and Research Scientist Fellows rostered in RIO, evaluation for rank and promotion is handled by the institute. See Sections xxx for details on what is considered during annual performance evaluations by the INSTAAR Executive Committee. The Director will provide feedback in writing annually, and from time to time discuss with the INSTAAR Fellow their teaching, research and service record as appropriate for the individual’s distribution of effort. Annual salary increases are determined by the Director based on merit and equity. The INSTAAR Director will take into account performance and salary of other comparable individuals within the institute and the university. The Director and the Executive Committee will employ an annual evaluation scheme that reduces the chance of bias or perception from influencing the decision (see annual appraisal plan for teaching, research, and service).

3. INSTAAR Fellow seven-year review

INSTAAR Fellows will be reviewed every approximately seven years to ensure that 1) the individual is meeting minimum expectations of serving as an INSTAAR Fellow, which includes regularly attending Directorate meetings, participating in the governance of the institute and contributing to INSTAAR service (typically by serving on one of INSTAAR’s standing or ad hoc committees per semester; 2) the individual’s contributions are in line with INSTAAR’s core teaching, research, or outreach missions; and 3) the individual’s behaviors and activities are in keeping with INSTAAR’s code of conduct. The timing of this review can be adjusted to coincide with their tenure home review upon discussion with and approval by the INSTAAR Director. The Office of the Director will contact the Fellow and ask for the following to be submitted:

- A CV that includes publication records as well as a record of instruction including any advising and mentoring of students.
• A 2-page document that outlines the Fellow’s most significant contributions over the past seven years related to INSTAAR’s mission. These contributions can include research, teaching, or outreach/engagement activities.

• Names and contact information for all graduate students, postdoctoral fellows, and undergraduate students for whom the Fellow has served as a primary mentor in the past seven years. The Office of the Director may solicit feedback from some or all of these students to support the renewal application.

INSTAAR staff also may be solicited for input on the Fellow’s fiscal responsibility and professional behavior. The INSTAAR Executive Committee will evaluate the information obtained in the Fellow reviews. If the review raises no significant concerns, the Fellow will be notified in writing by the Office of the Director. If concerns are raised during the Fellow review, the Executive Committee will make recommendations to the Director about possible corrective actions or in extreme cases may recommend that the individual lose Fellow status (voting rights) in INSTAAR. The Fellow will be notified of the review findings and recommended course of action in writing by the Office of the Director. The final course of action is at the discretion of the Director.

C. Promotion and reappointment procedures for INSTAAR Research Scientists

1. Promotion procedures

Applicants wishing to be promoted to any of the following categories (RSII, RSIII, SRS) need to complete a file for the INSTAAR Personnel Committee that includes:

• A formal letter addressed to INSTAAR’s Personnel Committee stating the wish to be considered for promotion.

• Current CV including publication record, funding history, proposal writing activity, and a record of instruction and/or student mentoring.

• For RSII promotion applications, up to three examples of their best publications. For RSIII and SRS promotion applications, up to five examples of their best publications. Except for first authored or single authored papers, the candidate should detail their distinctive role in the publication.

• For RSII promotion applications, the names and contact information for at least five references (including at least two referees external to CU). For RSIII and SRS promotion applications, the names and contact information for at least seven references (including at least three referees external to CU). The Personnel Committee will use this information to solicit letters as appropriate.

• A brief statement (1-2 pages) describing the candidate’s impact of research and proposed research objectives and plans.

• For RSIII and SRS promotion applications (not for RSII applications), a brief statement (1-2 pages) describing the candidate’s proposed student instructional or mentoring plans if relevant.

• The candidate should contact the INSTAAR Seminar Committee and arrange a seminar, which will be advertised in INSTAAR and any relevant university department.
• Any logistics of outside funds being transferred should be discussed with the INSTAAR Finance Officer. Any facility and space needs should be discussed with the INSTAAR Associate Director and appropriate Research Group Leader.

For each promotion application, the Personnel Committee will as appropriate, obtain outside evaluation of the candidate with the information obtained above, and seek information on the candidate’s potential for scholarship. The Personnel Committee will then make a recommendation to the INSTAAR Director. For RSII promotion applications, the case will be brought to the INSTAAR Executive Committee. For RSIII and SRS promotion applications, the case will be brought to the Directorate for further discussion and vote. In both cases, a 2/3 majority vote is required for acceptance. With a successful vote, the applicant will negotiate a salary level and/or any other conditions with their supervisor. The final decision is with the Director, who is the designated hiring authority of the Institute. The Director will provide formal request for appointment to the Research and Innovation Office (RIO) for all successful applicants according to the rules of RIO. A formal offer letter will be sent to the applicant by RIO appointing the applicant. If the recommendation from the Personnel Committee is negative, the candidate will be notified in writing by the Office of the Director.

2. Re-appointment procedures for non-Fellow RS-II, RS-III and SRS

Research Scientists who are not INSTAAR Fellows are appointed to five-year terms. The Office of the Director will notify the candidates prior to the need for reappointment and allow them to update their personnel file. Personnel wishing to be promoted should follow the promotion procedures outlined above.

Applicants wishing to be re-appointed to any of the following categories (RSII, RSIII, SRS) should submit to the Office of the Director to place in their personnel file:

• A formal letter stating their desire for reappointment.
• A two-page statement of their past achievements and future directions, and how these fit into INSTAAR’s mission.
• Current CV.
• Up to three publications that are the best examples of candidate’s scholarship.
• A letter of support from an INSTAAR Fellow or the Research Scientist’s INSTAAR supervisor.

The INSTAAR Personnel Committee will review the applicant’s personnel file (including FRPAs) and present a recommendation to the Director and Executive Committee concerning reappointment. A 2/3 majority vote by the Executive Committee is required for acceptance. The final decision is with the Director, who is the designated hiring authority of the Institute. With a successful vote, the applicant will negotiate a salary level and/or any other conditions with their supervisor. The Director will provide formal request for appointment to the Research and Innovation Office (RIO) for all successful applicants according to the rules of RIO. A formal offer letter will be sent to the applicant by RIO appointing the applicant. If the recommendation from the Personnel Committee is negative, the candidate will be notified in writing by the Office of the Director.
3. Re-appointment procedures for Fellow RS-II, RS-III and SRS:

Research Scientists who are INSTAAR Fellows are appointed to seven-year terms. Personnel wishing to be promoted should follow the promotion procedures outlined above. Re-appointment will be considered within the context of the seven-year Fellow review, described in section IIIA and IIIB.

D. Promotion or Reappointment within the Professional Scientist Series

1. The candidate should notify their supervisor of their interest in being evaluated for promotion or being reappointed without promotion.

2. The supervisor will evaluate the candidate’s performance and potential in light of INSTAAR titles and in relation to other INSTAAR personnel of the same title and levels of experience. The supervisor may request additional information from the applicant to support the request for promotion, such as:

   - Demonstrated competency through letter(s) of support from present and or prior supervisors that outline criteria (i.e., good judgment, proactiveness, independence, responsibility, success, technical competence, supervisory experience) and how the individual has met the criteria.
   - CV or resume.
   - Any publications or other proof of contributions to research, teaching, or service missions.

3. The application is formally approved in writing by the Office of the Director upon the recommendation of the supervisor.

E. Reappointment or Promotion to the Research Professor Series

These promotions or reappointments must follow the strict guidelines defining that classification as defined by the CU Research and Innovation Office https://www.colorado.edu/researchinnovation/hr/research-professor-series. Term lengths and reappointments are dictated by the RIO guidelines. The application packet will be submitted to the INSTAAR Director, referee letters obtained by the Personnel Committee and those materials will be made available to the INSTAAR Directorate for consideration and vote. If approved by the INSTAAR Directorate, the Director will provide the required information to RIO.

INSTAAR personnel seeking promotion within the Research Professor series will simultaneously be considered for promotion as an INSTAAR Research Scientist. For example, an INSTAAR RSII seeking promotion from an Assistant to Associate Research Professor will automatically be considered by the Personnel Committee for promotion to RSIII. While promotion procedures have been harmonized as much as possible, it is the candidate’s responsibility to make sure they have provided the Personnel Committee with all information required for the Research Scientist promotion procedures as well as the Research Professor promotion procedures.
F. Reappointment as an INSTAAR Affiliate

Affiliates are provided affiliate status with INSTAAR for a period of four years. After this period, an Affiliate cannot be reappointed without the active sponsorship of a voting member of the Directorate. The Office of the Director will ask the sponsor about the possibility of reappointment of the Affiliate. With a positive response, the Office of the Director will contact the Affiliate to inquire about their interest to renew their status. If interested, the Affiliate will supply:

- A request for reappointment letter. The letter should mention who their sponsor(s) is/are, and their nature of interactions with the sponsor(s).
- A two-page statement on the Affiliate’s research interactions at INSTAAR, for example their grantsmanship activity, level of interactions with graduate students, and other ways the affiliate is involved in the mission and activities of INSTAAR.
- An updated CV or resume.
- Up to five of their most recent publications, reproductions of creative works, or other evidence of scholarly or creative activity.
- The Office of the Director will contact the sponsor who will submit a letter of support detailing how the affiliate’s activities has promoted and will continue to promote the teaching, research, or service missions of INSTAAR.

The renewal file will be made available to the Directorate for a two-week comment period. Any comments received during this period of time will be taken into consideration by the Director when making a positive or negative decision about whether the Affiliate status will be renewed. The candidate will be notified in writing of the decision by the Office of the Director.

G. Appeals Procedure

Appeal procedures in case of disagreement with regards to appointment, reappointment or promotion in INSTAAR.

1. The Office of the Director will summarize the findings of the Personnel Committee and will make it clear to the applicant whether their appointment, re-appointment, or promotion was successful. Where success in promotion or reappointment is not achieved, the Director will discuss the results and implications in a private meeting with the candidate under discussion. The Director is to make known at that time that the member has a right of appeal.

2. If an INSTAAR member desires to appeal the findings, a written statement by the appealing member should be provided to the Personnel Committee, giving the reasons for the disagreement and documentation of relevant background information.

3. The Personnel Committee is to review the case and provide a written statement to the appealing member and to the Director. If the Personnel Committee agrees with an appeal, a new written statement will be prepared and the old written statement will be destroyed. This statement and other pertinent materials would become part of the record consonant with University regulations.

4. If no agreement can be reached, an appeals committee is formed, composed of three members, the Director of INSTAAR (or in case of conflict of interest, one member of the INSTAAR
Personnel Committee), one member of the INSTAAR Directorate, and one member of the CU community nominated by the appealing member.

5. The appeals committee reviews the case and subsequently calls for a hearing with the appealing member.

6. After the hearing, a written statement on the appeals committee’s findings is given to the appealing member. If the issue is resolved, the recommendation is routed using the normal channels.

7. If no agreement can be reached, the case goes to the ombuds office.