




To: Thomas LaPenta, Human Resources
Via: M. Christine ^{Ullrich} ~~Ullrich~~, Compensation & Benefits
From: Christopher M. Towers, Classification & Compensation
Date: February 5, 2014
Re: Policy Positions Career Ladder and Promotion Process Procedures

A committee was formed to review the career ladder for policy positions. The committee included representatives from the College of Arts & Sciences Dean's Office, the School of Public Policy and Administration, and the Office of Human Resources.

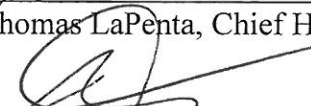
The original career ladder was developed April 9, 1993 for the College of Urban Affairs and Public Policy. The Dean of the College of Human Services Education and Public Policy revised the career ladder in October 2006 to include policy and other select positions. The career ladder is being revised to incorporate the changing role of Policy positions, and structural changes made as a result of the new compensation system.

Please contact the Office of Human Resources at 831-2171 if you have any questions about the changes made to the career ladder. The effective date of the revised career ladder is February 1, 2014. Thank you.

Approved by:


Thomas LaPenta, Chief Human Resources Officer

Date: 2/5/14


Domenico Grasso, Provost

Date: 17 Feb 2014


Scott Douglass, Executive Vice President

Date: 2/18/2014

cc: Payroll & Records Management
Dean's Office, College of Arts & Sciences
School of Public Policy and Administration

UNIVERSITY OF DELAWARE

**POLICY POSITIONS CAREER LADDER AND
PROMOTION PROCESS PROCEDURES**

February 2014

University of Delaware
Policy Positions Career Ladder and Promotion Procedures

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1. Mission

A. Purpose of the Promotion Policy

1. The purpose of the Policy Positions Career Ladder and Promotion Procedures is to recognize the professional performance, development, and achievements of individuals within this career ladder series. Policy positions encompass a complex array of job duties and responsibilities in which a variety of skills and talents are valued. Further, the ability for units to carry out their mission is enhanced by the excellence and active engagement of its Policy employees. The intent of this career ladder is to encourage the continuing development of Policy positions through broad-based, substantive public service programs, relevant research, the promulgation and dissemination of knowledge, and the pursuit of continuous professional development. This professional development is to be undertaken in conjunction with, but not at the expense of, fulfilling primary job responsibilities or meeting goals of the unit. This career ladder and promotion procedures applies to Policy Specialist I, Policy Specialist II, Assistant Policy Scientist, Associate Policy Scientist, Policy Scientist, and Senior Policy Scientist positions.
2. It is important to note that a career ladder only provides the framework for potential career advancement. There are no guarantees or promises implied by this document. There is no provision for "automatic" promotion based on tenure or performance.

2. Appointment and Promotion

A. Application of the Policy

1. This policy applies to all policy positions in the career ladder series as outlined in this document.
2. Any new hire, after the approval of this document, must immediately comply with all the policies as written. All previously hired Policy personnel who are seeking promotion must comply with this policy.

B. Initial Appointment Descriptions

1. For the initial appointment, the employee must meet minimum qualifications as outlined in the University-approved position description. The initial grade upon appointment is determined by the criteria for each grade and by the individual's status and achievements prior to appointment at the University of Delaware.

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2. At the time of appointment eligible new policy hires will receive a copy of this promotion document from their immediate supervisor. For specific requirements for each grade, see the Appendix A and B.

C. Promotion and Review

1. Promotion of Policy employees at the University of Delaware shall be based solely on the policies and procedures outlined in this document. The guidelines are designed to make the process fair and equitable to all and in line with other University career track programs. Promotion is based on the following:
 - a. Career advancement to the next highest grade within the Policy categories is based on demonstrably increased responsibility and job performance within the organizational unit at the next highest grade. In every instance the employee must show the potential for continued growth and professional development and a willingness to take on new or more complex responsibilities. Specifically, the candidate must demonstrate that he or she is satisfactorily performing the characteristics at the next highest grade.
 - b. Given that Policy positions may have assigned responsibilities at varying levels within each of these areas and the proportion of time assigned to each may also vary, promotion review will be based on the individual job responsibilities as provided in the promotion materials.
 - c. A candidate will usually spend a minimum of three years in grade before applying for promotion to the next grade. However, an employee may apply for promotion after having spent at least one year at current grade. Candidates are encouraged to review the characteristics of the Policy position at the next highest level (See Appendix B) and consult with their supervisor relative to writing their letter of intent. A candidate may withdraw his or her name from consideration at any point in the process through written communication to the Department Head.
 - d. Nothing in this document should be construed as a contract for continued employment.

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3. Roles and Responsibilities

A. Vice President/Dean

1. Publish the deadline for declaration of intention to submit a promotion application for consideration.
2. Send an email to each applicant for promotion accepting or rejecting his or her candidacy for promotion.
3. Receive the recommendation of the Promotion Review Committee and the recommendation of the Chairperson/Director.

B. Chairperson/Director

1. Inform the employee seeking promotion of his or her rights and privileges regarding promotion.
2. Oversee the selection of the Promotion Review Committee. A diverse committee of three members will be selected by the Chairperson/Director from among employees at Grade 29E or above, preferably who are covered by this policy. A majority of the Promotion Review Committee members must have a grade at, or above, the grade being sought by the employee; at least one committee member must have served on the committee during a previous year. Committee members will normally not be members of the same unit as the employees. An alternate must be substituted for a committee member to achieve proper composition and to avoid having direct supervisors involved in the promotion review.
3. Given the grade of the employee seeking promotion, the Chairperson/ Director will identify employees who are eligible to serve on the Promotion Review Committee. The Chairperson/ Director will review those eligible with the employee before asking any individuals to serve on the committee. If the employee is uncomfortable with any of the prospective members, a request by the employee can be made to the Chairperson/Director to eliminate the committee member. From the remaining list of those eligible, the Chairperson/Director will form the committee by identifying three individuals who are willing and able to serve. When necessary, two or more Promotion Review Committees may be appointed to review different employees.
4. Receive the Promotion Review Committee and Department Head recommendations and transmit them along with his or her recommendation to the Vice President/Dean.
5. Maintain a file of documents submitted during the promotion review and allow

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access to that material only to members of the Promotion Review Committee.

6. Inform the employee seeking promotion of the Promotion Review Committee promotion recommendation.
7. If applicable, advise employee seeking promotion of their right to appeal.
8. Publish the deadline for declaration of intention to submit a promotion application for consideration.
9. Send an email to each applicant for promotion accepting or rejecting his or her candidacy for promotion.
10. Receive the recommendation of the Promotion Review Committee and the recommendation of the Chairperson/Director.

C. Department Head

1. Prepare an evaluation of the employee independent of the Promotion Review Committee. This recommendation should speak to the employee's accomplishments and performance within the unit.
2. Submit the evaluation to the employee and the Chairperson/Director.
3. Recommend the amount of the promotional salary increment to the Chairperson/Director.

D. Promotion Review Committee

1. Serve for one year and may review more than one candidate when the committee membership is acceptable to the Vice President/Dean and all of the employees.
2. Elect its chair at its first meeting. The chair of the Promotion Review Committee coordinates administrative duties for the committee. All committee members participate equally in deliberations and voting.
3. Review the candidate's Policy Position Promotion dossier and make a recommendation. This review will include materials submitted by the candidate (both primary and evidentiary) documenting contributions to the college/division, school/department and the unique activities of his or her unit. In addition, the Committee shall determine promotion advancement potential based on criteria outlined in the career ladder matrix. All work and decisions made by the Promotion Review Committee require the participation of all three members. Final recommendation requires a majority vote.

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4. Consider a simple majority of the voting members of the committee as a quorum for meetings but require the full voting membership of the committee as a quorum for making promotion recommendations.
5. Inform the Chairperson/Director in writing, of the recommendation of the committee concerning the petition for promotion. This statement shall be signed by the committee chair and shall include the reason(s) for the action taken.

E. Employee

1. Notify the Vice President/Dean, the Chairperson/Director, and the employee's Department Head in writing of his or her intent to seek promotion. The letter should include the following items:
 - a. A statement of the employee's intent to seek promotion.
 - b. Current job title, grade, date of current appointment or promotion and grade to which promotion is requested.
 - c. A summary of the candidate's major accomplishments.
2. Prepare a Policy Position Promotion dossier including all relevant materials and submit to the Promotion Review Committee.
3. Be allowed to withdraw his or her application for promotion at any point during the process.
4. Have opportunity to submit appeal to a non-recommendation for promotion by the Promotion Review Committee.

4. Promotion Timeline

The schedule for the promotion review process is either the date given (or the next business day):

- August 1 – Vice President/Dean publish process and deadline for promotion application.
- August 15 – Employee submits written notice of intention to seek promotion to the Vice President/Dean, the Chairperson/Director, and the employee's Department Head.
- August 22 – Vice President/Dean, in consultation with Chairperson/Director, informs employee of acceptance to the process (with a copy to the Department Head). Employee begins to assemble dossier.
- September 1 – Chairperson/Director identifies possible Promotion Review Committee membership and supplies a list of potential members to the employee so he or she can identify anyone who they feel may have a conflict of interest.
- September 7 – Chairperson/Director secures Vice President/Dean approval for the

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Promotion Review Committee membership.

- October 7 – Department Head submits evaluation to employee and the Chairperson/Director.
- October 21 – Employee submits Policy Scientist Promotion Document to Promotion Review Committee via the Chairperson/Director.
- October 21 - October 31 – Promotion Review Committee conducts initial meeting, elects a committee chair, agrees on any procedural issues, and set timetable for promotion document review and next meetings. Also, after initial review it is now that the committee may request additional materials from the candidate.
- November 1 to December 1– Promotion Review Committee acts on the promotion documents by voting on each for promotion merit and submits its recommendation to the Chairperson/Director.
- December 2 to December 5 – If the Committee does not recommend promotion, the Committee provides a detailed written explanation of their determination to the Chairperson/Director. The Chairperson/Director informs the employee of the Promotion Review Committee’s recommendation not to promote, and provides the employee information on the appeal process. The employee has the option to withdraw his or her name from consideration for promotion. If the employee withdraws from consideration, all submitted documents from the employee are returned and no record is made of promotion consideration. If the employee does not withdraw, the promotion application, supporting materials, and any negative recommendation will be conveyed to the Vice President/Dean. The employee has the option of filing a grievance if he or she feels that a procedural or process error occurred. If the Committee recommends promotion, the Chairperson/Director informs the employee of the Promotion Review Committee’s recommendation to promote.
- December 15 – If applicable, the employee submits an appeal package to the Chairperson/Director clarifying or enhancing his or her application.
- December 16 to January 7 – If applicable, the Chairperson/Director reviews the Promotion Review Committee’s written explanation and employee’s appeal documents.
- January 15 – If applicable, the Chairperson/Director informs employee of the appeal decision. After consultation with Classification & Compensation, the Chairperson/Director submits promotion and salary increase recommendation to the Vice President/Dean.
- February 1 - The Vice President/Dean reviews and acts on the recommendation and informs the employee, Chairperson/ Director, and Department Head of final promotion decision and salary increase.
- April 1 – Effective date of promotion.

5. Organization of the Policy Position Promotion Document

The Policy Position Promotion Document should be organized under the following headings in this order:

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- Table of contents
- Copy of the letter of intent to the Vice President/Dean requesting promotion.
- Employee's Statement Regarding Promotion Qualifications
- Curriculum Vitae
- Department Head's recommendation
- Copies of letters of Recommendation/Evaluation from peer reviewers
- Supporting materials (i.e. reports, presentations and other work products)

6. Effective Date of Promotions

Career ladder promotions are effective April 1.

7. Salary Increase with Promotion

Upon promotion, the employee will typically receive a salary increase in the range of 4% to 10% per the Compensation Guidelines. The increase amount will be determined by magnitude of changes to duties, expertise and reputation, salary history, and placement in new grade.

8. Appendix A: Positions Descriptions. See page A1.

9. Appendix B: Matrix of Responsibilities. See page B1.

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Appendix A

Note: In all positions below, outstanding long-term professional and leadership experience with a national reputation may be substituted for educational requirements

Policy Specialist I (28E)

Qualifications

Associate's degree with three years' experience, Bachelor's degree with one year, or Master's degree. Experience must be in the field of public policy analysis and implementation, or a closely related field, and may include some combination of full time employment, internships and work study positions.

Level of Independence Regarding Research and Public Service

Work is moderately supervised. Conducts research. Collects and analyzes data. Drafts reports. Reviews methodologies and responds to procedural problems. Assists with the development of surveys. Conducts surveys, analyzes data, and provides recommendations.

Generation of External Funding and Proposal Development

Generation of external funding not expected, but assists others with research, writing, editing, and proposal preparation and research.

Production of Creative Products

Collects and analyzes information and writes material that contributes to the production of reports and other products. Drafts and conducts public presentations.

Supervision of Others

May supervise a limited number of support staff and student research assistants.

Reputation and Committees, Boards, Commissions, and Professional Associations

Active within university and at the local community level. Participates in scholarly organizations at the local or regional level.

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Appendix A

Policy Specialist II (29E)

Qualifications

Bachelor's degree with three years' experience or Master's degree with one year experience. Experience must be in the field of public policy analysis and implementation, or a closely related field, and may include some combination of full time employment, internships and research assistantships.

Level of Independence Regarding Research and Public Service

Work is minimally supervised. Conducts research. Collects and analyzes data. Prepares reports. Reviews methodologies, responds to procedural problems, recommends changes. Develops surveys, modifies parameters. Conducts surveys, analyzes data, and provides recommendations.

Generation of External Funding and Proposal Development

Expected to identify funding opportunities and assist others in pursuing these opportunities. Assists more senior staff with more complex aspects of proposal development.

Production of Creative Products

Collects and analyzes more complex information and writes material that contributes to the production of reports and other products.

Supervision of Others

Expected to supervise a limited number of support staff and student research assistants.

Reputation and Committees, Boards, Commissions, and Professional Associations

Developing reputation. Active within university and at the local or regional levels.

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Appendix A

Assistant Policy Scientist (30E)

Qualifications

Bachelor's degree with four years' experience, Master's degree with two years of experience, or Doctoral degree. Experience must be in the field of public policy analysis and implementation, or a closely related field, and may include some combination of full time employment, internships and research assistantships.

Level of Independence Regarding Research and Public Service

Work is minimally supervised for less complex projects, and moderately supervised for more complex projects.

Generation of External Funding and Proposal Development

Identifies and actively pursues funding opportunities and successfully obtains smaller amounts of funding. Leads and manages the development of less complex proposals.

Principal Investigator (PI)

Operates/Acts as PI or Co-PI on smaller and less complex projects.

Production of Creative Products

Plays a central role in collecting and analyzing more complex information and writes material that contributes to the production of reports and other products. May be a co-author of reports/articles.

Supervision of Others

Supervises smaller project teams consisting of support staff, exempt professionals and student research assistants.

Reputation and Committees, Boards, Commissions, and Professional Associations

Local reputation. Active within university and at the local or regional levels and takes on limited leadership roles.

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Appendix A

Associate Policy Scientist (31E)

Qualifications

Bachelor's degree with six years' experience, Master's degree with four years' experience, or Doctoral degree and one year experience. Experience must consist of full time employment in the field of public policy analysis and implementation, or a closely related field.

Level of Independence Regarding Research and Public Service

Work is minimally supervised for all types of projects.

Generation of External Funding and Proposal Development

Identifies and actively pursues funding opportunities and successfully obtains moderate amounts of funding. Leads and manages the development of moderately complex proposals.

Principal Investigator (PI)

Operates/Acts as PI or Co-PI on larger and more complex projects.

Production of Creative Products

Plays a central role in managing, collecting and analyzing more complex information and writes material that contributes to the production of reports and other products. May be a co-author or primary author of reports/articles.

Supervision of Others

Supervises larger project teams consisting of support staff, exempt professionals and student research assistants that may include staff from partner organizations.

Reputation and Committees, Boards, Commissions, and Professional Associations

State-wide or regional reputation. Active within university and at the local, regional or national levels and takes on more extensive leadership roles.

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Appendix A

Policy Scientist (32E)

Qualifications

Master's degree with six years of experience or Doctoral degree with three years of experience. Experience must consist of full time employment in the field of public policy analysis and implementation, or a closely related field.

Level of Independence Regarding Research and Public Service

Works without supervision for all types of projects.

Generation of External Funding and Proposal Development

Identifies and actively pursues funding opportunities and successfully obtains large amounts of funding on a sustained basis. Leads and manages the development of complex proposals.

Principal Investigator (PI)

Operates/Acts as PI on all types of projects.

Production of Creative Products

Plays a central role in managing, collecting and analyzing complex information and writes material that contributes significantly to the production of reports and other products. Is often the primary author of reports/articles/book chapters.

Supervision of Others

Supervises larger project teams consisting of support staff, exempt professionals and student research assistants that may include staff from partner organizations and that undertake very complex projects. Also plays leadership roles within a center or the school.

Reputation and Committees, Boards, Commissions, and Professional Associations

National reputation. Active within university and at the local, regional and national levels and takes on major leadership roles.

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Appendix A

Senior Policy Scientist (34E)

Qualifications

Master's degree with eight years' experience or Doctoral degree with five years of experience. Experience must consist of full time employment in the field of public policy analysis and implementation, or a closely related field.

Level of Independence Regarding Research and Public Service

Works without supervision for all types of projects.

Generation of External Funding and Proposal Development

Identifies and actively pursues funding opportunities and successfully obtains major amounts of funding on a sustained basis. Leads and manages the development of very complex proposals that often involve multiple cooperating partners from inside and outside the university.

Principal Investigator (PI)

Required to be PI on all types of projects.

Production of Creative Products

Is an internationally recognized expert in his or her field. Plays the leading role in collecting, managing and analyzing complex data and other information. Has the lead role in the production of documents, technical and other reports on projects for clients. Secures grants and contracts. Is often the primary author of reports, articles, book chapters and books. Is frequently the featured speaker at national or international professional events in his or her field.

Supervision of Others

Supervises larger project teams consisting of support staff, exempt professionals and student research assistants that may include staff from partner organizations and that undertake very complex projects. Also plays major leadership roles within a center, the school or college.

Reputation and Committees, Boards, Commissions, and Professional Associations

National and international reputation as a thought leader in his or her field, demonstrated by lead authorship of complex reports and articles in peer reviewed journals, and presentations at major academic and professional meetings and conferences. Active within university and at the local, regional, national and international levels and takes on major leadership roles.

**Matrix of Responsibilities at Different Grades of Policy Positions Career Ladder
Appendix B**

GRADE	Policy Specialist I 28E	Policy Specialist II 29E	Assistant Policy Scientist 30E	Associate Policy Scientist 31E	Policy Scientist 32E	Senior Policy Scientist 34E
QUALIFICATIONS	Associate's degree with three years' experience, Bachelor's degree with one year, or Master's degree. Experience must be in the field of public policy analysis and implementation, or a closely related field, and may include some combination of full time employment, internships and work study positions.	Bachelor's degree with three years' experience or Master's degree with one year experience. Experience must be in the field of public policy analysis and implementation, or a closely related field, and may include some combination of full time employment, internships and research assistantships.	Bachelor's degree with four years' experience, Master's degree with two years' experience, or Doctoral degree. Experience must be in the field of public policy analysis and implementation, or a closely related field, and may include some combination of full time employment, internships and research assistantships.	Bachelor's degree with six years' experience, Master's degree with four years' experience, or Doctoral degree and one year experience. Experience must consist of full time employment in the field of public policy analysis and implementation, or a closely related field.	Master's degree with six years experience or Doctoral degree with three years experience. Experience must consist of full time employment in the field of public policy analysis and implementation, or a closely related field.	Master's degree with eight years' experience or Doctoral degree with five years experience. Experience must consist of full time employment in the field of public policy analysis and implementation, or a closely related field.
LEVEL OF INDEPENDENCE REGARDING RESEARCH AND PUBLIC SERVICE	Work is minimally supervised	Work is moderately supervised	Work is minimally supervised for less complex projects, and moderately supervised for more complex projects	Work is minimally supervised for all types of projects	Works without supervision for all types of projects	Works without supervision for all types of projects
GENERATION OF EXTERNAL FUNDING/PROPOSAL DEVELOPMENT	Generation of external funding not expected, but assists others. Assists more senior staff with less complex aspects of proposal development.	Expected to identify funding opportunities and assist others in pursuing these opportunities. Assists more senior staff with more complex aspects of proposal development.	Identifies and actively pursues funding opportunities and successfully obtains smaller amounts of funding. Leads and manages the development of less complex proposals.	Identifies and actively pursues funding opportunities and successfully obtains moderate amounts of funding. Leads and manages the development of moderately complex proposals.	Identifies and actively pursues funding opportunities and successfully obtains large amounts of funding on a sustained basis. Leads and manages the development of complex proposals.	Identifies and actively pursues funding opportunities and successfully obtains major amounts of funding on a sustained basis. Leads and manages the development of very complex proposals that often involve multiple cooperating partners from inside and outside the university.
PRINCIPAL INVESTIGATOR	None	None	Operates/Acts as PI or Co-PI on smaller and less complex projects	Operates/Acts as PI or Co-PI on larger and more complex projects	Operates/Acts as PI on all types of projects	Required to be PI on all types of projects

Matrix of Responsibilities at Different Grades of Policy Positions Career Ladder
Appendix B

GRADE	Policy Specialist I 28E	Policy Specialist II 29E	Assistant Policy Scientist 30E	Associate Policy Scientist 31E	Policy Scientist 32E	Senior Policy Scientist 34E
PRODUCTION OF CREATIVE PRODUCTS	Collects and analyzes information and writes material that contributes to the production of reports and other products.	Collects and analyzes more complex information and writes material that contributes to the production of reports and other products.	Plays a central role in collecting and analyzing more complex information and writes material that contributes to the production of reports and other products. May be a co-author of reports/articles.	Plays a central role in managing, collecting and analyzing more complex information and writes material that contributes to the production of reports and other products. May be a co-author of reports/articles/book chapters.	Plays a central role in managing, collecting and analyzing complex information and writes material that contributes significantly to the production of reports and other products. Is often the primary author of reports/articles/book chapters.	Is an internationally recognized expert in his or her field. Plays the leading role in collecting, managing and analyzing complex data and other information. Has the lead role in the production of documents, technical and other reports on projects for clients. Secures grants and contracts. Is often the primary author of reports, articles, book chapters and books. Is frequently the featured speaker at national or international professional events in his or her field.
SUPERVISION OF OTHERS	May supervise a limited number of support staff and student research assistants.	Expected to supervise a limited number of support staff and student research assistants	Supervises smaller project teams consisting of support staff, exempt professionals and student research assistants	Supervises larger project teams consisting of support staff, exempt professionals and student research assistants that may include staff from partner organizations	Supervises larger project teams consisting of support staff, exempt professionals and student research assistants that may include staff from partner organizations and that undertake very complex projects. Also plays major leadership roles within a center, the school or college.	Supervises larger project teams consisting of support staff, exempt professionals and student research assistants that may include staff from partner organizations and that undertake very complex projects. Also plays major leadership roles within a center, the school or college.
REPUTATION/COMMITTEES, BOARDS, COMMISSIONS, & PROFESSIONAL ASSOCIATIONS	Active within university and at the local community level.	Developing reputation. Active within university and at the local or regional levels.	Local reputation. Active within university and at the local or regional levels and takes on limited leadership roles.	State-wide or regional reputation. Active within university and at the local, regional or national levels and takes on more extensive leadership roles.	National reputation. Active within university and at the local, regional and national levels and takes on major leadership roles.	National and international reputation as a thought leader in his or her field, demonstrated by lead authorship of complex reports and articles in peer reviewed journals, and presentations at major academic and professional meetings and conferences. Active within university and at the local, regional, national and international levels and takes on major leadership roles.