August 29, 2014

MEMORANDUM

TO: University Senate Members

FROM: Donald Webster
             Chair of the University Senate

SUBJECT: University Senate Meeting on Wednesday, September 17, 2014

The first meeting of the University Senate will be held on Wednesday, September 17, 2014. The meeting will convene at 3:15 p.m., in the Atrium of the Stamp Student Union. If you are unable to attend, please contact the Senate Office[1] by calling 301-405-5805 or sending an email to senate-admin@umd.edu for an excused absence. Your response will assure an accurate quorum count for the meeting.

The meeting materials can be accessed on the Senate Web site. Please go to http://www.senate.umd.edu/meetings/materials/ and click on the date of the meeting. Remember that each transmittal form provides a statement of the issue, a recommendation, and a summary of the committee's work. These are invaluable in helping to navigate the materials.

Meeting Agenda

1. Call to Order

2. Approval of the May 7, 2014, Senate Minutes (Action)

3. Report of the Chair

4. 2013-2014 Senate Legislation Log (Senate Doc. No. 14-15-01) (Information)

5. Approval of the Standing Committee & Council Slates 2014-2015 (Senate Doc. No. 14-15-02) (Action)

6. Review of the University of Maryland Guidelines for Appointment, Promotion, and Tenure (Senate Doc. No. 12-13-24) (Action)

7. New Business

8. Adjournment

University Senate

May 7, 2014

Members Present

Members present at the meeting: 95

Call to Order

Senate Chair Novara called the meeting to order at 3:27 p.m.

Chair Novara noted that all senators should have received ballots for the special elections and a clicker for voting on regular business items. He welcomed the new senators and asked them to stand and be recognized for their service. Chair Novara gave a brief overview of how to operate the clickers for voting on action items, and senators conducted a brief trial.

Election of the Chair-Elect

Chair Novara introduced Willie Brown, Director of Office Automation, Division of Information Technology, and Devin Ellis, Faculty Research Assistant, College of Behavioral & Social Sciences (BSOS), as the candidates for Chair-Elect and thanked them for their willingness to serve. He opened the floor to nominations. Hearing no additional nominations, he requested that all voting senators vote on the Chair-Elect. Chair Novara announced that Willie Brown had been elected Chair-Elect.

Approval of the Minutes

Chair Novara asked for additions or corrections to the minutes of the April 17, 2014, meeting. Hearing none, he declared the minutes approved as distributed.

Report of the Outgoing Chair, Vincent Novara

Chair Novara stated that the work of the Senate this past year has been transformative. He noted major accomplishments such as the work of the Joint President/Senate Sexual Harassment Task Force led by Cindi Hale, which resulted in the creation of a Title IX Office headed by the new Coordinator, Catherine Carroll; the approval of a unified framework for employment and promotion of non-tenure track faculty; the work of the Joint Provost/APT Guidelines Task Force led by Bradley Hatfield; the report on academic integrity from the Student Conduct Committee; nine new undergraduate/graduate programs from the Programs, Courses, and Curricula (PCC) Committee; the review of three college plans of organization by the Elections, Representation, and Governance (ERG) Committee; and the initiation of the Plan of Organization Review Committee, led by Charles Wellford. Novara also recognized the work of all of the committees that had not yet had an opportunity to report to the Senate and applauded the committee chairs for

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A verbatim tape of the meeting is on file in the Senate Office.

their leadership. He noted that four special presentations had been made to the Senate during the year including: President Loh, and from Peter Weiler, Vice President for University Relations; Kumea Shorter-Gooden, Chief Diversity Officer; and Bradley Hatfield, Chair of the Joint Provost/Senate APT Guidelines Task Force. Novara thanked Marvin Breslow, Parliamentarian Emeritus; Kenneth Holum, Parliamentarian; Reka Montfort, Executive Secretary and Directory, and the Senate Staff for their support. Novara welcomed the incoming chair, Donald Webster, and wished the Senate luck in its upcoming year.

Incoming Chair Donald Webster thanked Novara for his outstanding service and leadership over the past year and presented him with a token of appreciation. Webster also highlighted a few key items that would be forthcoming to the Senate next year.

Special Elections

Chair Webster thanked Missy Meharg and the Nominations Committee for their work in developing the slates and the candidates who had agreed to run. He also encouraged senators to volunteer to serve on a senate committee. He then provided instructions on the process for the special elections.

Senate Executive Committee
Webster requested that all voting senators take out the ballots for the vote of the Senate Executive Committee and strike out Willie Brown as a candidate because the Chair-Elect is an ex-officio member of the SEC. He opened the floor to nominations. Senator Belcher nominated Catherine McGrath for the Senate Executive Committee. Senator McGrath accepted the nomination. Webster instructed undergraduate senators to write-in Senator McGrath's name on their ballot. Hearing no further nominations, he asked senators to complete their ballots.

Committee on Committees
Webster asked all faculty, non-exempt, graduate student, and undergraduate senators to take out the ballots for the vote of the Committee on Committees. He opened the floor to nominations. Hearing none, he asked the senators to complete their ballots.

Athletic Council
Webster asked all faculty and staff senators to take out the ballots for the vote of the Athletic Council. He opened the floor to nominations. Hearing none, he asked the faculty and staff senators to complete their ballots.

Council of University System Faculty (CUSF)
Webster asked all faculty senators to take out the ballots for the vote of the Council of University System Faculty (CUSF). He opened the floor to nominations. Hearing none, he asked the faculty senators to complete their ballots.

Campus Transportation Advisory Committee (CTAC)

Webster requested that all faculty, staff, and undergraduate senators take out their ballots for the vote of the Campus Transportation Advisory Committee (CTAC). He opened the floor to nominations. Hearing none, he asked the senators to complete their ballots.

Chair Webster stated that Reka Montfort would announce the results of the special elections by email following the meeting.

Webster announced that the Senate meeting schedule for 2014-2015 had been finalized and would be emailed to senators. He reminded everyone that only senators or those introduced by senators may speak. For the record, each speaker should state his or her name and constituency prior to speaking.

Committee Reports

PCC Proposal to Establish a Post-Baccalaureate Certificate in World Language Education (Senate Doc. No. 13-14-32) (Action)

Marilee Lindemann, Chair of the Programs, Curricula, and Courses (PCC) Committee, presented the PCC Proposal to Establish a Post-Baccalaureate Certificate in World Language Education and provided background information about the new certificate.

Webster opened the floor to discussion of the report.

Senator Alexander, Emeritus Faculty Representative, asked for clarification on the table on expenditures and revenues in the proposal. He noted that the salary listed for instructors was a 5-year projection with flat salaries.
Betsy Beise, Member of the PCC Committee, stated that the table was just an estimate but does not reflect inflation or what might happen in the future. Proposals include a variety of estimates including student enrollments, tuition revenues, and salaries.

Senator Alexander inquired whether increased in salaries would be tied to increases in tuition revenues.
Beise responded that the State of Maryland governs salary increases each year.

Senator Kedem, Faculty, College of Computer, Mathematical, and Natural Sciences, asked for a definition of world language education.
Perla Blejer, Coordinator of the World Language Program in the College of Education, stated that the program trains teachers to be certified to teach a variety of languages. The program will include seven languages: Spanish, French, Italian, German, Latin, Russian, and Chinese. This program is a 12-credit program for teachers already teaching but looking for continuing education and pedagogy instruction.

Chair Webster called for a vote on the proposal as amended. **The result was 78 in favor, 7 opposed, and 8 abstentions. The proposal passed.**

PCC Proposal to Establish a Post-Baccalaureate Certificate in Public Financial Management (Senate Doc. No. 13-14-33) (Action)

Marilee Lindemann, Chair of the Programs, Curricula, and Courses (PCC) Committee, presented the PCC Proposal to Establish a Post-Baccalaureate Certificate in Public Financial Management and provided background information about the new post-baccalaureate certificate.

Webster opened the floor to discussion of the proposal.

Senator McKinney, Full-Time Instructors, inquired whether all the courses in the program are existing courses.
Betsy Beise, Member of the PCC Committee, stated that all but one course is an existing course.
McKinney raised concerns about the overlap of these courses with those in the School of Business.
Beise responded that those particular courses are already being offered in the Master of Public Policy.

Webster called for a vote on the proposal. **The result was 71 in favor, 8 opposed, and 10 abstentions. The proposal passed.**

PCC Proposal to Establish a Post-Baccalaureate Certificate in African-American Studies (Senate Doc. No. 13-14-34) (Action)

Marilee Lindemann, Chair of the Programs, Curricula, and Courses (PCC) Committee, presented the PCC Proposal to Establish a Post-Baccalaureate Certificate in African-American Studies and provided background information about the new post-baccalaureate certificate.

Webster opened the floor to discussion of the proposal.

Senator Blair, Part-Time Graduate Student Representative, inquired about the program's focus on the intersection of policy issues and social issues. She raised concerns about the general naming of the certificate and its thrust on policy issues. Lindemann responded that the core courses tap into the existing strengths of the department and that students would have to pursue other interests through electives.

Senator Carter-Pokras, Faculty, School of Public Health, inquired about whether the School of Public Health was included in the development of the proposal.
Betsy Beise, Member of the PCC Committee, clarified that the proposal includes a letter of support from the Chair of Epidemiology and Biostatistics in the School of Public Health.

Senator Moyes, Faculty, College of Agricultural & Natural Resources, inquired whether there was a Masters in African-American Studies.

Lindemann responded that this was the first step in establishing graduate programs in African-American Studies at the University.

Senator Harley, Faculty, College of Agricultural & Natural Resources, inquired whether the Department of Family Sciences was included in developing this proposal.
Betsy Beise, Member of the PCC Committee, stated that the proposal did not include a letter of support from that department but was confident that it would be interested in collaborating with the program.

Senator Moyes, Faculty, College of Agricultural & Natural Resources, inquired about the advantage to getting the certificate, which is 18 credit hours over three semesters, instead of a masters degree in four semesters.
Lindemann clarified that students interested in this program are enrolled in other departments at the University. It is not atypical for a graduate program to be 18 credits.

Webster called for a vote on the proposal. **The result was 68 in favor, 15 opposed, and 8 abstentions. The proposal passed.**

Revisions to the College of Computer, Mathematical and Natural Sciences (CMNS) Plan of Organization (Senate Doc. No. 12-13-34) (Action)

Mark Arnold, Member of the Elections, Representation, and Governance (ERG) Committee, presented the Revisions to the College of Computer, Mathematical and Natural Sciences (CMNS) Plan of Organization and provided background information about the revised plan.

Webster opened the floor to discussion of the proposal. Hearing none, he called for a vote on the proposal. **The result was 79 in favor, 3 opposed, and 7 abstentions. The proposal passed.**

Revisions to the School of Architecture, Planning, and Preservation (ARCH) Plan of Organization (Senate Doc. No. 11-12-41) (Action)

Mark Arnold, Member of the Elections, Representation, and Governance (ERG) Committee, presented the Revisions to the School of Architecture, Planning, and Preservation (ARCH) Plan of Organization and provided background information about the revised plan.

Webster opened the floor to discussion of the proposal. Hearing none, he called for a vote on the proposal. **The result was 78 in favor, 2 opposed, and 7 abstentions. The proposal passed.**

New Business

A verbatim tape of the meeting is on file in the Senate Office.

Senator Belcher, Undergraduate Student, College of Behavioral and Social Sciences, introduced Matthew Popkin, former undergraduate senator, to speak. Popkin provided some observations about the Senate based on his involvement as a student representative and encouraged senators to carefully evaluate the recommendations of the Plan of Organization Committee, which he had served on. Popkin wished the Chair, Chair-Elect, and the Senate a successful year. He provided a letter regarding representation and efficacy submitted to the Plan of Organization Review Committee for the record.

Adjournment

Senate Chair Webster adjourned the meeting at 4:29 p.m.

University Senate
TRANSMITTAL FORM

Senate Document #:	14-15-01
PCC ID #:	N/A
Title:	2013-2014 Legislation Log
Presenter:	Senate Office
Date of SEC Review:	August 28, 2014
Date of Senate Review:	September 17, 2014
Voting (highlight one):	Informational item – no vote is necessary
Statement of Issue:	The Senate Legislation Log is an overview of the work brought to the Senate during the 2013-2014 academic year. The log shows all completed legislation as well dates of subsequent approvals following Senate approval. In addition, there is a table of continuing legislation that was not completed last year but will continue into the 2014-2015 academic year.
Relevant Policy # & URL:	N/A
Recommendation:	The Legislation Log is provided for informational purposes.
Committee Work:	N/A
Alternatives:	N/A
Risks:	N/A
Financial Implications:	N/A
Further Approvals Required:	N/A

Senate Doc #	Name	Requester	Reviewing Committee	Date Received	Senate Status
13-14-20	Update of the University of Maryland Mission Statement	N/A	Complete: The SEC recommended representatives for the 2014 Mission Statement Working Group.	N/A	4/2/14
13-14-27	DOTS Second Appeals Process	N/A	Complete: The SEC voted to send a response to CTAC.	N/A	3/12/14
13-14-28	Policy for Riding Bikes on Sidewalks	N/A	Complete: The proposer received a letter from the SEC explaining its decision not to charge a committee with reviewing the proposal.	N/A	4/14/14
13-14-29	Sale of Alcohol at Athletic Events	N/A	Complete: The proposal was forwarded to the University Athletic Council.	N/A	3/12/14
13-14-30	Campus Safety Report 2014	4/17/14	Complete: The report was presented to the Senate as an informational item.	N/A	4/17/14
13-14-35	Proposal to Mandate the Use of ELMS and Reporting of Mid-Semester Grades of all Instructors and Teaching Professors	N/A	Complete: The proposer received a letter from the SEC explaining its decision to reject the proposal and charge a committee with a broader review of related issues.	N/A	5/6/14

Pending University Senate Legislation 2013-2014

Senate Doc #	Name	Requester	Reviewing Committee	Date Received	Senate Status
Legislation Reviewed from Prior Years					
10-11-36	Review of the Policy on Intellectual Property	Elisabeth Smela	Research Council	12/9/10	Under Review.
10-11-56	Review of the Maryland Fire and Rescue Institute (MFRI) Plan of Organization	Wayne Colburn	Elections, Representation, & Governance (ERG) Committee	4/12/11	Under Review.
12-13-11	Proposal to Establish a Policy of Mandatory Parental Leave for Graduate Assistants	David Colon-Cabrera	Graduate Council	8/31/12	Under Review.
12-13-24	Review of the University of Maryland Guidelines for Appointment, Promotion, and Tenure	Joint Provost/Senate APT Guidelines Task Force	Joint Provost/Senate APT Guidelines Task Force	10/10/12	Under Review.
12-13-37	Revisions to the College of Information Studies (INFO) Plan of Organization	College of Information Studies (INFO)	Elections, Representation, & Governance (ERG) Committee and Faculty Affairs Committee	12/18/12	Under Review.
12-13-42	Clarification of University APT Policy Regarding Emeritus Status for Research Faculty	Devin Hayes Ellis	Faculty Affairs Committee	2/11/13	Under Review.
12-13-50	Review of Faculty Salary Inequities	Senate Executive Committee (SEC)	Faculty Affairs Committee	3/13/13	Under Review.
12-13-54	Review of Civility in the UMD Workplace Environment	Senate Executive Committee (SEC)	Equity, Diversity, and Inclusion (EDI) Committee	4/19/13	Under Review.
12-13-55	Providing a Unified Framework for Non-Tenure Track Faculty Appointments	Senate Executive Committee (SEC)	N/A	5/6/13	Pending Approval. Waiting on BOR Approval
12-13-56	Consideration of an Overall Title for Non-Tenure Track Faculty	Senate Executive Committee (SEC)	Faculty Affairs Committee	5/6/13	Under Review.
Legislation Reviewed from 2013-2014					
13-14-05	Revisions to the College of Education (EDUC) Plan of Organization	College of Education (EDUC)	Elections, Representation, & Governance (ERG) Committee and Faculty Affairs Committee	9/3/13	Under Review.
13-14-13	Proposal to Streamline the University's Marijuana Policy with State Policy	Mikayla Hellwich	Campus Affairs Committee	10/28/13	Under Review.
13-14-15	Update Adjunct 1 & 2 Classification Policy	James Sanders and Tony McCann	Faculty Affairs Committee	12/10/13	Under Review.
13-14-21	PCC Proposal to Establish a Master of Science in Accounting	PCC Committee	N/A	12/6/13	Pending Approval. Waiting on MHEC Approval
13-14-22	PCC Proposal to Establish a Master of Science in Information Systems	PCC Committee	N/A	12/6/13	Pending Approval. Waiting on MHEC Approval
13-14-23	PCC Proposal to Establish a Master of Science in Marketing Analytics	PCC Committee	N/A	12/6/13	Pending Approval. Waiting on MHEC Approval
13-14-24	PCC Proposal to Establish a Master of Science in Supply Chain Management	PCC Committee	N/A	12/6/13	Pending Approval. Waiting on MHEC Approval
13-14-25	PCC Proposal to Establish a Post-Master's Certificate in the Curation and Management of Digital Assets	PCC Committee	N/A	1/31/14	Pending Approval. Waiting on MHEC Approval
13-14-26	Code of Academic Integrity Changes	Andrea Goodwin, Kevin Pitt, and Noah Niederhoffer	Student Conduct Committee (SCC)	2/11/14	Under Review.
13-14-31	Hazing Policy Revision	Andrea Goodwin	Student Conduct Committee (SCC)	3/27/14	Under Review.
13-14-32	PCC Proposal to Establish a Post-Baccalaureate Certificate in World Language Education	PCC Committee	N/A	3/17/14	Pending Approval. Waiting on MHEC Approval
13-14-33	PCC Proposal to Establish a Post-Baccalaureate Certificate in Public Financial Management	PCC Committee	N/A	3/17/14	Pending Approval. Waiting on MHEC Approval
13-14-34	PCC Proposal to Establish a Post-Baccalaureate Certificate in African-American Studies	PCC Committee	N/A	3/17/14	Pending Approval. Waiting on Chancellor's Approval, MHEC Approval
13-14-36	Review of Mid-Semester and Early Warning Grades Policies and Procedures	Senate Executive Committee (SEC)	Academic Procedures & Standards (APAS) Committee	4/16/14	Under Review.
13-14-37	Revisions to the School of Public Health (SPHL) Plan of Organization	School of Public Health (SPHL)	Elections, Representation, & Governance (ERG) Committee and Faculty Affairs Committee	8/30/13	Under Review.
13-14-38	Revisions to the University of Maryland Libraries (LIBR) APPS Section / Plan of Organization	The Libraries (LIBR)	Faculty Affairs Committee	12/20/13	Under Review.

University Senate
TRANSMITTAL FORM

Senate Document #:	14-15-02
PCC ID #:	N/A
Title:	2014-2015 Senate Standing Committee & University Council Slates
Presenter:	Willie Brown, Chair of the 2014-2015 Committee on Committees
Date of SEC Review:	August 28, 2014
Date of Senate Review:	September 17, 2014
Voting (highlight one):	On resolutions or recommendations one by one, or In a single vote To endorse entire report
Statement of Issue:	Presentation of the Senate Standing Committee and University Council Slates, as generated by the Senate Committee on Committees, to be approved by the Senate Executive Committee (SEC) and the University Senate.
Relevant Policy # & URL:	N/A
Recommendation:	To approve the slates as submitted.
Committee Work:	The Committee on Committees met on May 21, 2014 and May 28, 2014 to review all of the committee volunteers and their statements. The Committee on Committees had 112 membership openings to fill on the regular standing committees of the Senate, and 304 volunteers from the various constituencies on campus. The committee endeavored to create balanced standing committee memberships, representing a variety of colleges, disciplines, constituencies, and gender. The committee selected faculty, staff, and students volunteers to fill the open positions. The committee members used the volunteers' top three choices from their preference form to place them onto respective committees. Committee on Committees members were assigned responsibilities for further recruitment efforts, as needed. The 2014-2015 Committee on Committees approved the final slate on June 19, 2014. Following the final placements, the Senate Office informed all of the volunteers whether they had been placed on a committee for the 2014-2015 academic year.

| | The Senate Office and the Chair of the Committee on Committees (Senate Chair-Elect) worked together to fill vacancies that arose following the meetings throughout the summer.

Additionally, the Senate Chair-Elect worked with the Office of the Provost to create a slate of candidates for the University Library Council. In accordance with the University Library Council Bylaws, the slate of University Library Council appointees was approved by both the Senate Committee on Committees and the Senior Vice President and Provost on July 29, 2014.

The Senate Chair and the Director of the Senate worked with the Vice President of Research to create the slate of appointees for the University Research Council.

The Senate Chair and the Director of the Senate worked with the Vice President of Information Technology (IT) and Chief Information Officer to create a slate of appointees for the University IT Council. |
|---|---|
| **Alternatives:** | To not approve the slates. |
| **Risks:** | There are no associated risks. |
| **Financial Implications:** | There are no financial implications. |
| **Further Approvals Required:** | Senate Approval, Presidential Approval |

Academic Procedures & Standards (APAS)

Nominated

Brian Barker	Faculty	BSOS	2016
Linda Moghadam	Faculty	BSOS	2016
Douglas Roberts	Faculty	UGST	2016
Lelyn Saner	Faculty	VPR	2016
Daniela Wagner-Loera	Faculty	EDUC	2016
Jose Carrillo	Graduate Student	AGNR	2015
Stephanie Cork	Graduate Student	SPHL	2015
Janet Adeola	Undergraduate Student	SPHL	2015
Fang Cao	Undergraduate Student	CMNS	2015
Anastasia Himes	Undergraduate Student	BSOS	2015

Ex-Officio

Adrian Cornelius	Ex-Officio-University Registrar	SVPAAP	2015
Donna Hamilton	Ex-Officio-Undergraduate Studies Rep	UGST	2015
Britt Reynolds	Ex-Officio-Director of Undergraduate Admissions	SVPAAP	2015
Mark Shayman	Ex-Officio-Graduate School Rep	ENGR	2015
Juan Uriagereka	Ex-Officio-Provost's Rep	SVPAAP	2015

Continuing Members

Linda Coleman	Faculty	ARHU	2015
Reid Compton	Faculty	CMNS	2015
Daniel Falvey	Faculty	CMNS	2015
Johnnieque Love	Faculty	LIBR	2015
Margaret Udahogora	Faculty	EXST	2015

Chair

Charles Delwiche	Chair	CMNS	2015

Campus Affairs

Nominated

Emily Adams	Exempt Staff	VPAF	2015
Kevin McGann	Exempt Staff	BSOS	2016
Sharon Epps	Faculty	LIBR	2016
Lee Friedman	Faculty	CMNS	2016
Agisilaos Iliadis	Faculty	ENGR	2016
Saksham Chawla	Graduate Student	ENGR	2015
Priyansh Jain	Graduate Student	ENGR	2015
Sumayyah Milstein	Undergraduate Student	AGNR	2015
Devin Rote	Undergraduate Student	BMGT	2015

Ex-Officio

Mark Brimhall	Ex-Officio-Chief Diversity Officer	SVPAAP	2015
Lori Ebihara	Ex-Officio-Chair of Coaches Council	PRES	2015
Barbara Gill	Ex-Officio-Provost's Rep	SVPAAP	2015
Preeti Lakhole	Ex-Officio-GSG Rep	INFO	2015
Catherine McGrath	Ex-Officio-SGA Rep	ARHU	2015
Carolyn Trimble	Ex-Officio-VP Administration and Finance Rep	VPAF	2015
Leon Tune	Ex-Officio-VP University Relations Rep	VPUR	2015
John Zacker	Ex-Officio-VP Student Affairs	VPSA	2015

Continuing Members

Cassandra Schmitt	Faculty	LIBR	2015
Elizabeth Warner	Faculty	CMNS	2015
Kendra Wells	Faculty	AGNR	2015

Chair

Kevin Pitt	Chair	VPSA	2015

Educational Affairs

Nominated

Leslie Brice	Exempt Staff	UGST	2016
Michael Harris	Exempt Staff	PRES	2015
Adam Hsieh	Faculty	ENGR	2016
Cinthya Ippoliti	Faculty	LIBR	2016
Sheila Lalwani	Faculty	ARHU	2016
Gerald Miller	Faculty	CMNS	2016
Brian Nelson	Faculty	BMGT	2016
Dylan Selterman	Faculty	BSOS	2016
Wiebke Tapken	Faculty	AGNR	2015
Gaurav Sharma	Graduate Student	ENGR	2015
Chaga Abeysinghe	Undergraduate Student	BMGT	2015
Iowis Zhu	Undergraduate Student	CMNS	2015

Ex-Officio

Elizabeth Beise	Ex-Officio-Provost's Rep	SVPAAP	2015
Jessica Bennett	Ex-Officio-GSG Rep	EDUC	2015
Jeffrey Franke	Ex-Officio-Graduate School Rep	GRAD	2015
Gregory Miller	Ex-Officio-Chair of PCC	ARHU	2015
Alison Robinson	Ex-Officio-Division of Information Technology Rep	IT	2015
Lourdes Salamanca-Riba	Ex-Officio-Chair Gen Ed	ENGR	2015
Ann Smith	Ex-Officio-Undergraduate Studies Rep	UGST	2015
Erin Wessell	Ex-Officio-Director of Honors Rep	ARHU	2015
Charmaine Wilson-Jones	Ex-Officio-SGA Rep	BSOS	2015

Continuing Members

Robin Dasler	Faculty	CMNS	2015
Mohammad Hajiaghayi	Faculty	CMNS	2015
Hongjie Liu	Faculty	SPHL	2015
Eric McKenzie	Faculty	CMNS	2015
Maria Tzortziou	Faculty	CMNS	2015

Chair

Jessica Enoch	Chair	ARHU	2015

Elections, Representation, & Governance (ERG)

Nominated

Alice Altstatt	Faculty	BSOS	2016
Virginia Brown	Faculty	AGNR	2016
Charles Fenster	Faculty	CMNS	2016
Anne Raugh	Faculty	CMNS	2016
Richmond Onokpite	Graduate Student	EDUC	2015
Pallavi Rao	Graduate Student	INFO	2015
Catherine Fisanich	Non-Exempt Staff	CMNS	2015
Rachel Sullivan	Undergraduate Student	BSOS	2015
Ruofei Yang	Undergraduate Student	BMGT	2015

Ex-Officio

Stephanie David	Ex-Officio-Associate VP IRPA	SVPAAP	2015
Arthur Dwight	Ex-Officio-Director of Human Resources Rep	VPAF	2015

Continuing Members

Mark Arnold	Exempt Staff	SVPAAP	2015
Stephen Brighton	Faculty	BSOS	2015
Andrew Horbal	Faculty	LIBR	2015
Jianhua Zhu	Faculty	AGNR	2015

Chair

Jess Jacobson	Chair	USG	2015

Equity, Diversity, & Inclusion (EDI)

Nominated

Syndy Shilling	Exempt Staff	VPSA	2016
Melanie Baker	Faculty	EDUC	2016
Wendy Peer	Faculty	AGNR	2016
Afua Dennis	Graduate Student	EDUC	2015
Andrea Knowles	Graduate Student	ARHU	2015
Thelma Donnellan	Non-Exempt Staff	CMNS	2015
Lauren Grant	Non-Exempt Staff	VPSA	2016
Amir Mojtahedi	Non-Exempt Staff	USG	2016
Jordan Brunson	Undergraduate Student	BSOS	2015
Emily Dement	Undergraduate Student	CMNS	2015
Emmanuel Onyeukwu	Undergraduate Student	BSOS	2015
Kevin Rudd	Undergraduate Student	BMGT	2015

Ex-Officio

Gloria Bouis	Ex-Officio-Office of Diversity & Inclusion Rep	SVPAAP	2015
Warren Kelley	Ex-Officio-Student Affairs Rep	VPSA	2015
Anne Martens	Ex-Officio-Administration & Finance Rep	VPAF	2015
Kumea Shorter-Gooden	Ex-Officio-Provost's Rep	SVPAAP	2015

Continuing Members

Vandaliah Thompson	Exempt Staff	VPAF	2015
Elizabeth Wineke	Exempt Staff	SVPAAP	2015
Antonio Alvarez	Faculty	PRES	2015
Leslie Felbain	Faculty	ARHU	2015
Nia Fields	Faculty	AGNR	2015
David Sartorius	Faculty	ARHU	2015

Chair

Terry Owen	Chair	LIBR	2015

Faculty Affairs

Nominated

Connie Jesse Lira	Exempt Staff	SVPAAP	2016
James McKinney	Faculty	BMGT	2016
KerryAnn O'Meara	Faculty	EDUC	2016
Marc Pound	Faculty	CMNS	2016
Nan Ratner	Faculty	BSOS	2016
Ellin Scholnick	Faculty	PRES	2016
Heidi Celebi	Graduate Student	BMGT	2015
Kelly Cowdery	Graduate Student	EDUC	2015
Andrew Podob	Undergraduate Student	BSOS	2015

Ex-Officio

Dale Anderson	Ex-Officio-Director of Human Resources Rep	VPAF	2015
Michele Eastman	Ex-Officio-President's Rep	PRES	2015
Juan Uriagereka	Ex-Officio-Provost's Rep	SVPAAP	2015

Continuing Members

Roberto Celi	Faculty	ENGR	2015
Richard Ellis	Faculty	CMNS	2015
Katie King	Faculty	ARHU	2015
Stephen McDaniel	Faculty	SPHL	2015
Debra Neubert	Faculty	EDUC	2015

Chair

Devin Ellis	Chair	BSOS	2015

General Education

Nominated

Mohammed Hussain Abdul Jabbar	Faculty	ENGR	2016
Annelies Galletta	Faculty	EDUC	2016
Nina Harris	Faculty	PUAF	2016
Xin He	Faculty	SPHL	2016
Kathryn Lawley	Faculty	INFO	2016
Deborah Nelson	Faculty	JOUR	2016
Sean Gilmour	Graduate Student	PUAF	2015
Leslie Juengst	Graduate Student	AGNR	2015
Annie Nichols	Graduate Student	ARHU	2015
Daniel Wang	Undergraduate Student	ENGR	2015

Ex-Officio

William Dorland	Ex-Officio-University Honors Rep	UGST	2015
Lisa Kiely	Ex-Officio-Undergraduate Studies Rep	UGST	2015
Marilee Lindemann	Ex-Officio-Executive Director of College Park Scholars Rep	UGST	2015
Douglas Roberts	Ex-Officio-Associate Dean of General Education	UGST	2015

Continuing Members

Sabrina Baron	Faculty	ARHU	2015
David Kirsch	Faculty	BMGT	2015
Michael Montague-Smith	Faculty	CMNS	2015
Kasey Moyes	Faculty	AGNR	2015
Madlen Simon	Faculty	ARCH	2015
Kathleen Skinker	Faculty	BSOS	2015

Chair

Lourdes Salamanca-Riba	Chair	ENGR	2015

Programs, Curricula, & Courses (PCC)

Nominated

Samira Anderson	Faculty	BSOS	2016
Albert Calogero	Faculty	JOUR	2016
Cindy Clement	Faculty	BSOS	2016
Nedelina Tchangalova	Faculty	LIBR	2016
Jianhua Zhu	Faculty	AGNR	2016
Lauren Weiss	Graduate Student	SPHL	2015
Jonathan Coplin	Undergraduate Student	AGNR	2015
George Zhang	Undergraduate Student	ENGR	2015

Ex-Officio

Elizabeth Beise	Ex-Officio-Provost's Rep	SVPAAP	2015
Alexander Chen	Ex-Officio-Graduate School Rep	ARCH	2015
Daniel Mack	Ex-Officio-Dean of Libraries Rep	LIBR	2015
Cynthia Stevens	Ex-Officio-Undergraduate Studies Rep	BMGT	2015

Continuing Members

Patricia Cossard	Faculty	LIBR	2015
David Myers	Faculty	AGNR	2015
Amy Sapkota	Faculty	SPHL	2015
Andrew Schonebaum	Faculty	ARHU	2015
William Stuart	Faculty	BSOS	2015

Chair

Gregory Miller	Chair	ARHU	2015

Staff Affairs

Nominated

Ingrid Farrell	Exempt Staff	ARCH	2016
Barbara Hansborough	Exempt Staff	CMNS	2016
Dolores Jackson	Exempt Staff	CMNS	2016
Jo Zimmerman	Faculty	SPHL	2016
Carol Bonkosky	Non-Exempt Staff	VPAF	2016
Jasmine Cooper	Non-Exempt Staff	ENGR	2016
Fredis Garcia	Non-Exempt Staff Contingent II	VPSA	2016
Sara Moran	Non-Exempt Staff	CMNS	2016
Kyle Delancey	Undergraduate Student	CMNS	2015
Daniel Wolf	Undergraduate Student	BSOS	2015

Ex-Officio

Colleen Auburger	Ex-Officio-VP Administration & Finance Rep	VPAF	2015
Dylan Baker	Ex-Officio-CUSS Rep	SVPAAP	2016
Sarah Goff-Tlemsani	Ex-Officio-CUSS Rep	BSOS	2016
Deborah Grover	Ex-Officio-CUSS Rep	ARHU	2016
David Klossner	Ex-Officio-CUSS Rep	PRES	2016
Julie Potter	Ex-Officio-VP University Relations Rep	VPUR	2015
David Rieger	Ex-Officio-Director of Human Resources Rep	VPAF	2015
Maureen Schrimpe	Ex-Officio-CUSS Rep	VPSA	2016
Kristin Stenson	Ex-Officio-SEC Non-Exempt Staff Rep	BMGT	2015
Brooke Supple	Ex-Officio-VP Student Affairs Rep	VPSA	2015
Carolyn Trimble	Ex-Officio-SEC Exempt Staff Rep	VPAF	2015
Chuck Wilson	Ex-Officio-Provost's Rep	EXST	2015
Dana Wimbish	Ex-Officio-CUSS Rep	VPAF	2016

Continuing Members

Jamie Edwards	Exempt Staff	INFO	2015
Taryn Faulkner	Exempt Staff	PUAF	2015
Maribeth Kibbey	Exempt Staff Contingent II	SVPAAP	2015
David Glenn	Faculty	LIBR	2015
Judith Gorski	Faculty	ARHU	2015
Denise Best	Non-Exempt Staff	GRAD	2015
Angela Machado	Non-Exempt Staff	VPSA	2015

Chair

Gloria Blackwell	Chair	VPAF	2015

Student Affairs

Nominated

Rebecca Kenemuth	Exempt Staff	ENGR	2016
Pamela Orel	Faculty	ARHU	2016
Ian Chambers	Graduate Student	AGNR	2015
Stephanie Okhagbuzo	Graduate Student	ENGR	2015
Piyush Ramachandran	Graduate Student	INFO	2015
Andrew Williams	Graduate Student	SPHL	2015
Kellie Achstetter	Undergraduate Student	ARHU	2015
Joseph Baier	Undergraduate Student	BSOS	2015
Ellen Cesewski	Undergraduate Student	ENGR	2015
Mihili Gunaratne	Undergraduate Student	CMNS	2015
Ori Gutin	Undergraduate Student	AGNR	2015
Kevin Lafrancis	Undergraduate Student	JOUR	2015
Michael Lee	Undergraduate Student	ENGR	2015
Ravali Paidipati	Undergraduate Student	BMGT	2015
Bryan Pfeffer	Undergraduate Student	LTSC	2015
Austin Trupp	Undergraduate Student	BSOS	2015

Ex-Officio

Robin Chiddo	Ex-Officio-University Relations Rep	VPUR	2015
Cynthia Hale	Ex-Officio-Provost's Rep	SVPAAP	2015
Mary Hummel	Ex-Officio-VP Student Affairs Rep	VPSA	2015
Mark Leone	Ex-Officio-Graduate School Rep	BSOS	2015
Marc Limansky	Ex-Officio-Administration and Finance Rep	VPAF	2015
James McShay	Ex-Officio-VP Student Affairs Rep	VPSA	2015
Dennis Passarella-George	Ex-Officio-Resident Life Rep	VPSA	2015
Patrick Ronk	Ex-Officio-SGA Rep	BSOS	2015
Gareth Vaz	Ex-Officio-GSG Rep	ENGR	2015

Continuing Members

David Bigio	Faculty	ENGR	2015
Gary White	Faculty	LIBR	2015
Andre Joutz	Non-Exempt Staff	VPAF	2015

Chair

Gilbert Nuñez	Chair	BSOS	2015

Student Conduct

Nominated

Gideon Mark	Faculty	BMGT	2016
Jason Speck	Faculty	LIBR	2016
Claire Jacobson	Graduate Student	EDUC	2015
Zachary Rowan	Graduate Student	BSOS	2015
Anthony Belton	Undergraduate Student	BSOS	2015
Jacob Piekarz	Undergraduate Student	ENGR	2015
Brenna Zhang	Undergraduate Student	BMGT	2015

Ex-Officio

Andrea Goodwin	Ex-Officio-Director of the Office of Student Conduct	VPSA	2015

Continuing Members

Katherine Izsak	Faculty	BSOS	2015
Kerry Tripp	Faculty	SPHL	2015

Chair

Kasey Moyes	Chair	AGNR	2015

IT Council

Nominated

Paul Dworkis	Exempt Staff	VPAF	2016
Jeffrey Hollingsworth	Faculty	CMNS	2015
Jandelyn Plane	Faculty	CMNS	2016
Sean Luechtefeld	Graduate Student	ARHU	2015
Venezia Shiblie	Undergraduate Student	BSOS	2015

Ex-Officio

There are currently no ex-officio members in this group.

Continuing Members

Cynthia Hale	Exempt Staff	SVPAAP	2015
William Dorland	Faculty	UGST	2015
Katie King	Faculty	ARHU	2015
Jimmy Lin	Faculty	INFO	2015

Chair

Andrew Baden	Chair	CMNS	2016

<u>Library Council</u>

<u>Nominated</u>

Kelsey Corlett-Rivera	Faculty	LIBR	2016
Debra Shapiro	Faculty	BMGT	2016
Mia Smith-Bynum	Faculty	SPHL	2016
Andrei Vedernikov	Faculty	CMNS	2016
Victor Yakovenko	Faculty	CMNS	2016
Michael Honch	Graduate Student	INFO	2015
Alexa April	Undergraduate Student	EDUC	2015

<u>Ex-Officio</u>

Elizabeth Beise	Ex-Officio-Provost's Rep	SVPAAP	2015
Willie Brown	Ex-Officio-Senate Chair-Elect	IT	2015
Gary White	Ex-Officio-Libraries	LIBR	2015

<u>Continuing Members</u>

Michael Israel	Faculty	ARHU	2015
Michael Kurtz	Faculty	INFO	2015
Mark Leone	Faculty	BSOS	2015
Patrick McCluskey	Faculty	ENGR	2015
Sarah Penniston-Dorland	Faculty	CMNS	2015

<u>Chair</u>

John Bertot	Chair	INFO	2017

Research Council

Nominated

Sandor Boyson	Faculty	BMGT	2016
Erica Glasper	Faculty	BSOS	2016
William Idsardi	Faculty	ARHU	2016
Karen Lips	Faculty	CMNS	2015
KerryAnn O'Meara	Faculty	EDUC	2016
Shaun Edmonds	Graduate Student	SPHL	2015
Amanda Waugh	Graduate Student	INFO	2015
Jhansi Katakam	Undergraduate Student	BSOS	2015

Ex-Officio

Michele Eastman	Ex-Officio-President's Rep	PRES	2015
Ken Gertz	Ex-Officio-VP Research	VPR	2015
Donna Hamilton	Ex-Officio-Undergraduate Studies Rep	UGST	2015
Antoinette Lawson	Ex-Officio-Director of ORA Rep	VPR	2015
Arthur Popper	Ex-Officio-Graduate School Rep	CMNS	2015

Continuing Members

Maureen Meyer	Exempt Staff	ENGR	2015
Michelle Girvan	Faculty	CMNS	2015
Marie Howland	Faculty	ARCH	2015
Andre Marshall	Faculty	ENGR	2015
Liangli Yu	Faculty	AGNR	2015

Chair

Thomas Murphy	Chair	ENGR	2017

University Senate
TRANSMITTAL FORM

Senate Document #:	12-13-24
PCC ID #:	N/A
Title:	Review of the University of Maryland Guidelines for Appointment, Promotion, and Tenure
Presenter:	Bradley D. Hatfield, Chair, Joint Provost/Senate APT Guidelines Task Force
Date of SEC Review:	August 28, 2014
Date of Senate Review:	September 17, 2014
Voting (highlight one):	1. On resolutions or recommendations one by one, or 2. In a single vote 3. To endorse entire report
Statement of Issue:	In September 2012, the University Senate and President Loh approved the Faculty Affairs Committee (FAC) recommendations regarding, "Reform of the APT Committee Procedures" (Senate Document Number 11-12-03). The FAC undertook a thorough review of a proposal to determine whether revisions to the Appointments, Promotion, and Tenure (APT) procedures were necessary. The FAC concluded that the issues raised in the proposal are complicated, but that the University must formally review the APT procedures. The committee unanimously agreed that a joint task force should be established in order to review the procedures and criteria for evaluation as well as develop a review cycle for subsequent reviews. The Senate approved the committee's recommendations on September 20, 2012 and President Loh gave his approval on September 27, 2012. In February 2013, the Joint Provost/Senate APT Guidelines Task Force was charged with reviewing the University of Maryland Guidelines for Appointment, Promotion, and Tenure (APT).
Relevant Policy # & URL:	University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)) http://www.president.umd.edu/policies/ii100a.html University of Maryland Guidelines for Appointment, Promotion, and Tenure http://faculty.umd.edu/policies/documents/APTManual13-14.pdf

Recommendation:	APT Policy
	The Task Force recommends that revisions to the APT Policy be made to ensure that it aligns with the University's principles on equity, fairness, and inclusion, the broad range of scholarship, the importance of mentorship, a fair and just review, transparency in the review process, and consideration of a variety of evidence of teaching as outlined in the Revised University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)).
	APT Guidelines
	The Task Force recommends that the University of Maryland Guidelines for Appointment, Promotion, and Tenure, as revised at the end of the report, be accepted and approved by the Senate and President.
	Administrative Recommendations
	The Task Force recommends that the Associate Provost for Faculty Affairs distribute an annual letter to all administrators involved with APT review committees (Chairs of Department APT Review Committees, Department Chair, College APT Chairs and Review Committees, University-level APT Review Committees) reminding them of the importance of conducting a fair, unbiased, and impartial evaluation. This letter will include explicit statements that discussions of the candidates by the committee members should avoid inappropriate comments, such as disparaging remarks about personal characteristics, tenure delay(s), cultural background, group membership, and personality traits. Chairs of the Unit-level APT Review Committees will distribute the letter to the voting faculty at the inception of the review process. This letter shall be referenced prior to the evaluative meeting and when inappropriate discussions arise.
	The Task Force recommends that the Office of Faculty Affairs develop the following documents to be included as appendices of the University APT Manual:
	• Examples of teaching portfolio elements; • Proposed text for the email request for availability to potential external evaluators; • Updates to any existing forms/documentation regarding the APT process.
	In addition, the Office of Faculty Affairs should keep a file of all

unit mentoring plans and revised promotion criteria once developed/revised.

Education & Training
The Task Force recommends that Department Chairs and Deans be provided information and opportunities for training regarding the revisions to the University of Maryland Guidelines for Appointment, Promotion, and Tenure and the University of Maryland Policy Procedures on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)) as outlined in the report. Specifically, leadership training about mentoring, peer evaluations of teaching, work-life balance, and equity, fairness, and inclusion should be emphasized.

Implementation Plan
The proposed revisions to the University of Maryland Guidelines for Appointment, Promotion, and Tenure and the University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)) will be effective upon final approval and are expected to be fully implemented for the 2015-2016 academic year for all tenured/tenure-track faculty. It is expected that implementation of the majority of the proposed changes will not disrupt the current promotion process. However, in cases where specific elements of the revisions to the Guidelines and Policy are impractical or disadvantageous to an existing faculty candidate, it is incumbent upon the unit head to explain the rationale for any deviations in the Department Chair's Letter in the dossier.

Review Cycle
The Task Force supports the annual review of the University of Maryland Guidelines for Appointment, Promotion, and Tenure by the Office of Faculty Affairs to consider how best to address specific issues that arise during each review cycle. However, the Task Force believes that a holistic review of the entire document will help provide a broad perspective on interrelated issues, as well as address the changing landscape of higher education. Therefore, the Task Force recommends that the University of Maryland Guidelines for Appointment, Promotion, and Tenure be reviewed every five years by a Joint Provost/Senate Task Force, as deemed necessary. In the fourth year of the review cycle, the

	Associate Provost for Faculty Affairs will report to the Senate Faculty Affairs Committee on annual changes and evolving trends in higher education since the last review, to determine whether a formal review is necessary. However, the Associate Provost for Faculty Affairs and the Senate Faculty Affairs Committee may convene a review earlier in the cycle upon mutual agreement. The Task Force recommends that the University of Maryland Policy and Procedures on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)) be reviewed every ten years. A joint Senate/Provost Task Force should conduct the review.
Committee Work:	In its meetings, the task force discussed the overall challenges of the Appointment, Promotion, and Tenure review process. The report by the Faculty Affairs Committee, a review of the current University of Maryland Guidelines for Appointment, Promotion, and Tenure, and consideration of the University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)) provided context for the task force's deliberations. After initial discussion of the charge and early deliberations on the general nature of the APT process at the University of Maryland and at peer institutions, a number of specialized subcommittees were formed to respond to the various elements of the charge in a focused and efficient manner. Specifically, ten subcommittees were formed, corresponding to the various areas of the charge and each comprised of a chair and selected members of the Task Force, to examine relevant language in the current Guidelines and Policy documents. The goals of each group were 1) to compose a general principle to guide changes to current practice, 2) to examine relevant best practices of peer institutions, and 3) to then formulate new language recommended for inclusion in the both Guidelines and Policy documents. Most members of the Task Force were appointed to more than one subcommittee. The task force also undertook a data collection phase. The Office of Faculty Affairs was instrumental in collecting peer institution data related to the various areas under consideration. In April 2013, the task force solicited feedback regarding its charge from the University Senate. In addition, the task force requested similar feedback from all

tenured/tenure-track faculty through email.

The task force met with several key administrators regarding areas of its charge. In May 2013, the task force met with Patrick O'Shea, Vice President for Research on how varying facets of scholarly activity should be evaluated in the APT review process. In addition, the task force consulted with Kumea Shorter-Gooden, Chief Diversity Officer and Assistant Vice President regarding issues of diversity and how it relates to the APT process. Finally, the task force met with Juan Uriagereka, Associate Provost for Faculty Affairs, to gain a better understanding of the current process.

The task force requested an extension due to the breadth of information that it was tasked with reviewing, however, members agreed to spend the summer months developing guiding principles for each of the areas of the charge. The subcommittees reviewed each element of the charge, identified current relevant language, identified best practices, formulated principles, and constructed new language for incorporation into the Guidelines and, if needed, the Policy. Each subcommittee reported back to the entire task force in the fall of 2013. Guiding principles and potential actions were presented to the University Senate on February 5, 2014, to get additional perspective before recommendations were finalized. Language for revisions to both the APT Guidelines and the APT Policy were finalized and vetted with the Office of Legal Affairs. The task force approved the final recommendations and revisions to the Guidelines and APT Policy on March 27, 2014.

The task force intended to present its final report on April 17, 2014, however, the Senate voted to delay consideration to allow time for further consultation. The task force met with the Provost to discuss the recommendations. In addition, members of the task force attended the Council of Deans and the Academic Leadership Forum to get feedback on its recommendations.

The Deans were tasked with compiling feedback from their individual colleges by June 15, 2014. The task force reviewed all feedback and met on June 25, 2014 and August 1, 2014 to finalize its recommendations. The task force consulted with

	the Office of Legal Affairs regarding additional revisions. The task force approved its final recommendations and revisions to the Guidelines and APT Policy on August 20, 2014.
Alternatives:	To not approve the recommendations, which could lead to our University's inability to recruit and retain top faculty.
Risks:	There are no associated risks with the approval of this report and its recommendations.
Financial Implications:	Minimal resources will be needed to establish educational aspects of the recommendation.
Further Approvals Required:	Senate Approval, Presidential Approval, BOR Approval

Joint Provost/Senate
Appointments, Promotion, and Tenure (APT)
Guidelines Task Force

August 2014

Bradley Hatfield, Chair
Carmen Balthrop
Robert Chambers
Curtis Grimm
Abolhassan Jawahery
Melanie Killen
Steven Marcus
KerryAnn O'Meara
Laura Rosenthal
Roberta Rudnick
Ellin Scholnick
Robert Schwab

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REPORT

BACKGROUND INFORMATION

In September 2012, the University Senate and President Loh approved the Faculty Affairs Committee (FAC) recommendations regarding, "Reform of the APT Committee Procedures" (Senate Document Number 11-12-03)". The FAC undertook a thorough review of a proposal to determine whether revisions to the Appointments, Promotion, and Tenure (APT) procedures were necessary. The FAC concluded that the issues raised in the proposal are complicated, but that the University must formally review the APT procedures. The committee unanimously agreed that a joint task force should be established in order to review the procedures and criteria for evaluation as well as develop a review cycle for subsequent reviews. The Senate approved the committee's recommendations on September 20, 2012 and President Loh gave his approval on September 27, 2012.

INTRODUCTION

Mary Ann Rankin, Senior Vice-President and Provost and Martha Nell Smith, Chair of the University Senate formed the Joint Provost/Senate APT Guidelines Task Force in February 2013. The Task Force was charged (Appendix 2) with reviewing the University of Maryland Guidelines for Appointment, Promotion, and Tenure (APT). Specifically, the Task Force was asked to:

- Review the standards used to select external evaluators. *(See subcommittee work section 4. on page 11)*

- Consider the elements and approaches used to evaluate candidates. *(See particularly subcommittee work section 4. on page 11 and section 5 on page 13)*

- Consider how varying facets of scholarly activity should be evaluated as part of the APT review process. *(See subcommittee work section 2. & 3. on page 10)*

- Consider the impact of new work-life balance policies and tenure delay on the APT review process. *(See subcommittee work section 7. on page 14)*

- Develop a regular review cycle and a process for subsequent reviews of the APT procedures and the APT Policy. *(See recommendations section VI. on page 18)*

- Review the APT Procedures used at our peer institutions. *(See peer institution review on page 6)*

- Consider developing a standard dossier format based on best practices at our peer institutions. *(See subcommittee work section 10. on page 15)*

- Consider how issues of diversity impact the equity of the APT process. *(See subcommittee work section 1. on page 9)*

- Consider methods for streamlining the entire APT process. *(See subcommittee work section 9. on page 15)*

- Consider how the APT Guidelines can be modified to encourage mentoring of junior faculty. *(See subcommittee work section 6. on page 13)*

CURRENT PRACTICE

The current Appointment, Promotion, and Tenure review process has served the University of Maryland in its goal of promotion excellence in its faculty. Over the past three years, the University of Maryland has handled around 120 cases annually for tenure, promotion, and new appointments with tenure. A great majority of these cases have been successful, but instances have arisen indicating that practices are not always consistent across Departments and Colleges, and that statistically, faculty from historically under-represented groups achieve tenure and promotion at a lower rate than their colleagues. The Office of Faculty Affairs is responsible for facilitating the APT process and implementing APT Policy on behalf of the Provost. Faculty Affairs reviews all cases and produces an annual report with information on that year's cohort as well as recommended remedies to improve the process and communication. There are different workshops presented by Faculty Affairs for multiple audiences: 1) for new tenure-track faculty to orient them to the APT process; 2) for faculty slated for tenure and/or promotion in the next academic year; 3) for administrators of the process in Departments and Colleges; and 4) for staff preparers of dossiers in each College. Additionally, the Associate Provost for Faculty Affairs charges College APT Review Committees before they begin the review process. In at least one College, the Associate Dean for Faculty Affairs charges each Department APT Review Committee in that College.

The Office of Faculty Affairs releases the University APT Manual including the latest APT Guidelines and Policy each year to each Department and College, new Chairs and Deans, and new tenure-track faculty members. This manual is also available online via the Office's website, faculty.umd.edu. Recent changes to APT process and documents have occurred as a result of Appeals cases; adjustments to the University System of Maryland policies; campus initiatives affecting APT; and from ad-hoc reviews of the APT Guidelines initiated by the Office of Faculty Affairs. It became evident that a more systematic review would be needed 1) because there was no knowledge of a previous formal review of APT Guidelines and Policy; 2) to address possible disparities in the process

which could disadvantage historically under-represented groups; 3) to more accurately reflect recent policy changes and the shifting landscape of scholarship; and 4) to involve faculty campus-wide in the decision-making process.

TASK FORCE WORK

In its meetings, the task force discussed the overall challenges of the Appointment, Promotion, and Tenure review process. The report by the Faculty Affairs Committee, a review of the current University of Maryland Guidelines for Appointment, Promotion, and Tenure, and consideration of the University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)) provided context for the task force's deliberations. After initial discussion of the charge and early deliberations on the general nature of the APT process at the University of Maryland and at peer institutions, a number of specialized subcommittees were formed to respond to the various elements of the charge in a focused and efficient manner. Specifically, ten subcommittees were formed, corresponding to the various areas of the charge and each comprised of a chair and selected members of the Task Force, to examine relevant language in the current Guidelines and Policy documents. The goals of each group were 1) to compose a general principle to guide changes to current practice, 2) to examine relevant best practices of peer institutions, and 3) to then formulate new language recommended for inclusion in the both Guidelines and Policy documents. Most members of the Task Force were appointed to more than one subcommittee.

The task force also undertook a data collection phase. The Office of Faculty Affairs was instrumental in collecting peer institution data related to the various areas under consideration. In April 2013, the task force solicited feedback regarding its charge from the University Senate. In addition, the task force requested similar feedback from all tenured/tenure-track faculty through email. The task force met with several key administrators regarding areas of its charge. In May 2013, the task force met with Patrick O'Shea, Vice President for Research on how varying facets of scholarly activity should be evaluated in the APT review process. In addition, the task force consulted with Kumea Shorter-Gooden, Chief Diversity Officer and Assistant Vice President regarding issues of diversity and how it relates to the APT process. Finally, the task force met with Juan Uriagereka, Associate Provost for Faculty Affairs, to gain a better understanding of the current process.

The task force requested an extension due to the breadth of information that it was tasked with reviewing, however, members agreed to spend the summer months developing guiding principles for each of the areas of the charge. The subcommittees reviewed each element of the charge, identified current relevant language, identified best practices, formulated principles, and constructed new language for incorporation into the Guidelines and, if needed, the Policy. Each subcommittee reported back to the entire task force in the fall of 2013. Guiding

principles and potential actions were presented to the University Senate on February 5, 2014, to get additional perspective before recommendations were finalized. Language for revisions to both the APT Guidelines and the APT Policy were finalized and vetted with the Office of Legal Affairs. The task force approved the final recommendations and revisions to the Guidelines and APT Policy on March 27, 2014.

The task force intended to present its final report on April 17, 2014, however, the Senate voted to delay consideration to allow time for further consultation. The task force met with the Provost to discuss the recommendations. In addition, members of the task force attended the Council of Deans and the Academic Leadership Forum in May 2014 to get additional feedback on its recommendations.

The Deans were tasked with compiling feedback from their individual colleges by June 15, 2014. The task force reviewed all feedback and met on June 25, 2014 and August 1, 2014 to finalize its recommendations. The task force consulted with the Office of Legal Affairs regarding additional revisions. The task force approved its final recommendations and revisions to the Guidelines and APT Policy on August 20, 2014

PEER INSTITUTION REVIEW

In addition to reviewing the existing University of Maryland APT Policy and Guidelines, Task Force members reviewed APT policies and procedures at peer institutions to determine whether our current practice is comparable to those elsewhere, and to identify any models that the University might consider adopting.

The institutions included in the review were:
- University of California – Berkeley
- University of California - Los Angeles
- University of Illinois
- University of Michigan
- University of North Carolina - Chapel Hill
- Ohio State University
- Penn State University
- Purdue University
- University of Texas - Austin
- University of Wisconsin - Madison

Task force subcommittees analyzed and reviewed policy and guideline language at these universities in each of the major areas of the charge. Specifically, they reviewed best practices for equity, fairness, and inclusion; work-life balance; teaching; mentoring; innovation and entrepreneurship; and interdisciplinary research. In addition, Task Force members considered relevant practices for

external evaluators, letter solicitation, candidate notification, and standard format of dossiers.

The Task Force found that there are variations amongst the universities in most of the major areas; however, best practices were identified at several institutions. The University of Maryland's appointment, promotion, and tenure practices align with several peer institutions in areas such as standard format and the number of required external letters. The Task Force agrees that the University needs to not only align with best practices of its peers but also revise its policy and guidelines to adjust to changing trends in academia.

Many higher education institutions are just beginning to incorporate innovation and entrepreneurship and interdisciplinary research into the APT process. The Provost at the University of Michigan stated in a memo to faculty the following: "Full recognition in the tenure process be given to the broad range of entrepreneurial, outreach, and creative activities in which faculty engage. These activities may enhance any of the criteria on which faculty are measured — teaching, research, and service." In addition, the University of Illinois-Urbana Champagne (UIUC) encourages that research not be interpreted narrowly, and promotes an "inclusive view of scholarship." The University of North Carolina refers to "faculty engagement with the public, new forms of scholarly work, and work across disciplinary lines, as all being valued as scholarly work." Texas A&M has added "patents and commercialization of research" as an additional category on which faculty can be evaluated for tenure and promotion. At University of Illinois, in addition to guidelines for joint appointments in two or more units, guidelines exist for single unit appointments of a new or current faculty in interdisciplinary research.

Several universities have implemented procedures to help support faculty throughout the promotion process, whether it is through mentoring or work-life balance. Michigan State University and the University of North Carolina require that each academic unit have a mentoring plan. In addition, UNC guidelines state the following: "It may be desirable for an early-career faculty to have multiple mentors." The Ohio State University, the University of California-Berkeley, and the University of California-Irvine all have implemented family-friendly policies for faculty including tenure delay. The Task Force agreed that our University should make a stronger commitment to mentoring faculty at the Assistant and Associate Professor levels and make a strong statement in support of our tenure delay policies.

Some of our peer institutions have implemented models for the promotion process including a more diverse representation of a candidate's teaching record and a more timely approach to candidate notification. The University of Michigan implements a teaching portfolio that is "more than a simple collection of documents". They call for the inclusion of "materials from oneself," such as reflective statements; "materials from others," such as student evaluations and

assessments from colleagues who have observed classes and reviewed materials; and "products of good teaching," such as evidence regarding placement of Ph.D. students in professional positions and provide numerous examples of potential items for inclusion in an appendix.

The University of California-Berkeley provides the candidate with an opportunity to inspect non-confidential materials (to ensure completeness). In addition, Berkeley informs the candidate that he/she may indicate individuals who might not be objective (both internal and external reviewers). The candidate must provide a written statement with reasons, which will be included in the review file, but will be accessible only to administrators. The University of Texas at Austin provides similar opportunities to candidates.

SUBCOMMITTEE WORK

<u>Overarching Goal</u>

In addition to the guiding principles articulated by each of the ten subcommittees, the Task Force formulated an overarching or superordinate goal by which all of the various elements of the work were guided as follows: "In order to contribute to excellence in our faculty and institution the overarching goal of the Task Force is to provide recommendations for incorporation in the *University of Maryland Guidelines for Appointment, Promotion, and Tenure* that promote accuracy, integrity, and clarity of the candidate's record of achievement in scholarly, creative, instructional, mentoring, and service activities through a fair, just, and transparent decision-making process. The committee also recognizes the need to consider the full range of scholarship of our diverse faculty." Any recommended changes to the Guidelines and Policies are designed to achieve this goal.

<u>Thematic Summary</u>

Taken as a whole, the Task Force addressed ten domains of current practice in order to achieve a coherent and comprehensive goal-driven revision of current APT practices. The "big picture" of suggested changes to current practice derive from the collective efforts of each subcommittee (numbered in parentheses) and are woven together such that the suggestions (1) rest on a foundation of fairness and equity and recognize the dynamic and emergent nature of scholarly and creative activities, which can be characterized as (2) innovative and entrepreneurial, as well as (3) interdisciplinary/non-traditional/emerging in nature, while (4) seeking evaluations of that work from the best qualified experts and (5) a comprehensive assessment of instruction and mentoring to minimally include evaluations from students and periodic review of peers. A structured and sustained developmental perspective to achieve excellence in scholarship, instruction, and service is advocated through (6) systematic mentoring of candidates at both the Assistant and Associate Professorial ranks while

considering (7) work-life balance and the attendant differences in the challenges faced by individual faculty members in advancing their work. Recommendations are offered to in the area of (8) candidate notification to promote transparency of the process while ensuring accuracy of non-evaluative components of the dossier. Finally, the Task Force responded to the need for greater efficiency in the APT process through recommendations to (9) better organize and "streamline" the dossiers of all candidates for promotion and tenure, while offering steps to (10) expedite the consideration of outstanding scholars of international prominence for appointment to the faculty with tenure.

Guiding Values and Considerations of the Review Process

Throughout the process the Task Force sought to maintain a balance of the interests of both the candidate and the University in order to reach its overarching goal and the specific goals of the committee. To illustrate, the recognition of collaborators to serve as external reviewers (who would be competent to evaluate the scholarly activity) was balanced by the need for impartiality. As in the past, recommended changes to the Guidelines and Policy documents maintain deference to the local or first level of review of candidates and recognition of the differences in academic specialties across the campus, as "one size does not fit all." Furthermore, the Task Force recognizes the need for synergistic efforts between the APT process and various campus initiatives such as those promoted through ADVANCE, CTE, mentoring of faculty, etc. in addition, successful implementation of the recommended changes will require institution-sponsored educational efforts to assist unit leaders and faculty in their activities associated with the APT process through leadership forums and official communications from the Office of the Provost.

Findings and Conclusions

Summaries of the intent, major recommendations for change, and the implications for the APT process are highlighted for each of the ten subcommittees below and a compilation of subcommittee reports can be found in Appendix 2.

1. Equity, Fairness, & Inclusion
The guiding principle for this subcommittee is "Provision of a fair, equitable, inclusive, and just faculty environment is crucial for maintaining excellence at the University and is essential to the APT process. Achieving equity and justice in the APT process requires complementary institutional changes aimed at reducing unfair hiring, promotion, and retention that results from implicit or explicit biases related solely to decisions based on categories such as gender, race, ethnicity, religion, disability, nationality, sexuality, and similar group membership categories."

As such, the Task Force seeks to promote a culture of fairness and equity in the unit, college, and campus APT Review Committees through explicit educational efforts to facilitate the management of meetings and avoidance of inappropriate commentary. To encourage a fair and equitable review process for the candidate, the Associate Provost for Faculty Affairs will send a letter to all faculty review committees and administrators at each level reminding them of the importance of conducting a fair and unbiased evaluation through avoidance of disparaging or prejudicial comments. It will state that the evaluation of the candidate may not be based on factors such as a candidate's sex, race, sexual orientation or other protected personal characteristics. The discussions also should not be prejudiced by any discussion of the candidate's personality traits, departmental politics, tenure delay(s) or part-time status. For example, in the case of a candidate who has had an authorized delay of the tenure clock the focus of the discussion and decision-making in APT review committees should be on the candidate's performance in meeting the criteria set forth by the Department, College, and University, and not on how long (e.g., an extra year) it took to meet those criteria. This recommendation applies to faculty being evaluated for tenure, as well as those with tenure being evaluated for promotion. Should faculty members of the APT Review Committee (as witnesses) believe that prejudicial comments have been made, they are encouraged to raise their concern during the meeting, citing the Administration's letter. That faculty member may also discuss the issue confidentially with the APT Review Committee Chair, or with the Associate Provost for Faculty Affairs for appropriate action. Based on the efforts to inform unit heads and relevant faculty members the APT Review Committee Chair has the responsibility of ensuring that discussion and evaluation of the candidate is fair, unbiased, and impartial. The promotion of fairness in the APT process through the recommended actions will contribute to equity in the decision-making process and diversity in the faculty.

2. & 3. Recognition of Scholarship including: Innovation & Entrepreneurship, and Interdisciplinary Research
The overall guiding principle in the recognition of scholarship is "To recognize and evaluate the full range of scholarship in which a faculty member might engage and to ensure appropriate criteria are in place to measure all scholarship (including new and emerging forms)." The work of the two subcommittees, Innovation and Entrepreneurship and Interdisciplinary Research contribute to this goal.

The specific principle articulated by the subcommittee on Innovation & Entrepreneurship is "Recognition in the tenure process will be given to the broad range of entrepreneurial, public engagement, and creative activities in which faculty engage, which units may define in their criteria for tenure and promotion. These entrepreneurial and/or engaged scholarly activities must enhance one or more of the criteria on which faculty are evaluated (research, scholarship, and artistic creativity, teaching, and service) and should be consistent with the mission of the unit and scholarly expertise of the candidate. Colleges and

Departments must have explicit written criteria that should be rigorously evaluated for high quality, distinction, and impact covering these dimensions of the process."

In the area of scholarship and creative activities the Task Force recognizes the dynamic nature of scholarship and recognition of innovation in scholarship and emerging forms of scholarship. Scholarship is defined as the discovery, integration, engagement and transmission of knowledge. The quality of scholarship is evaluated using peer review, with particular focus on the work's impact and significance. The onus is on the candidate to present documentation that his or her work meets these criteria. Such documentation will include traditional means (e.g. citations, journal impact factors) but may also take other forms. However, it is incumbent on candidates to show that the work calls upon their academic and/or professional expertise, and to demonstrate the excellence of their work based on the unit's criteria for excellence, using such evidence as provided by: peer review, impact, significance and/or innovation.

The subcommittee recognizes the consideration of entrepreneurial scholarship consistent with the University System Policy on Appointment, Rank, and Tenure of Faculty (II-1.00) that states that consideration may be given to "creative activities or other activities that result in the generation and application of intellectual property through technology transfer." In this manner, the recognition of emerging forms of scholarship is achieved with appropriate reliance on metrics of impact as well as peer evaluation.

The specific guiding principle of the subcommittee on Interdisciplinary Research is "Scholarly activity is dynamic. The promotion and tenure process for Assistant and Associate Professors engaged in interdisciplinary, non-traditional, or emerging scholarship, an important component of scholarly activity, requires formal recognition by units of the special circumstances. Any exceptional arrangement that requires a modification of criteria for tenure and/or promotion shall be specified in a written agreement from the time of appointment up to the third-year review for untenured candidates, or at any time following the award of tenure, and shall be approved by the faculty and administrator of the first-level unit, by the Dean of the school or college, and by the Provost. Consideration of the unique approach to scholarship and career trajectories is critical at the time of appointment and at the time of examination of the record for promotion and tenure."

The recommendations call for thoughtful evaluation of interdisciplinary, non-traditional, or emerging scholarship with additions to the University APT Manual for a modification of criteria for tenure and promotion through a formal written agreement that specifies the nature of the candidate's duties and obligations to the Department. The primary recommendation is that at the time of appointment, every candidate should be made aware of the opportunity to request an agreement specifying a modification of criteria for tenure and promotion. An

existing faculty member may also choose to request modified criteria if his or her research evolves into an interdisciplinary, non-traditional, or emerging direction. However, the formal agreement of modified criteria requires approval of the faculty and administrator of the first-level unit, by the Dean of the school or college, and the Provost. It is recommended that the Department consult with a scholar from the relevant discipline(s), or one who does similar research, if applicable, to develop the agreement. Additionally, Chairs should assign appropriate mentors from other relevant discipline(s). In reviewing candidates with agreements for modified criteria, APT Review Committees should include a scholar, knowledgeable in the other discipline(s), from on or off campus, to serve in an advisory capacity to both the Advisory Subcommittee and the Department APT Review Committee. The executed agreement must be signed and dated by the candidate and included in materials for external evaluators, as well as in the APT Dossier for review at all levels.

Attention to the dynamic nature of scholarship and research will also be facilitated by the recommended regular review cycle of the Guidelines and Policies for APT.

4. External Evaluators/Letters
The guiding principle for this subcommittee is that "Research fields have become increasingly collaborative across a wide spectrum leading to many connections between researchers in some fields (e.g., through large-scale collaborations involving hundreds of people, edited volumes, etc.). There should, therefore, be flexibility in the guidelines regarding selection of external evaluators, which would allow for the possibility, in such cases, to seek evaluations from those who would normally be deemed collaborators. In addition, the process of letter solicitation needs standardization, clarity, and objective consideration of refusals and non-responses."

In essence, the recommendations are designed to promote expert evaluation of the candidate by selecting external evaluators who, first and foremost, are chosen based on his or her knowledge, expertise, and insights regarding the scholarly activities of the candidate (i.e., not driven primarily by the institutional affiliation). Specifically, the subcommittee recognizes that a greater proportion of letters from collaborators may be needed in some circumstances in order to provide a complete, equitable, and thorough evaluation of the contributions of the candidate. Such letters may be allowed if justification is provided by the Advisory Subcommittee (e.g., in cases of very large collaborations where co-authors number in the hundreds). It is recommended that the list of external evaluators and their credentials, as well as justification for including a greater proportion of collaborators be vetted by the Dean's office prior to solicitation of letters, in order to identify possible inadequacies in the overall list.

Furthermore, the subcommittee recognizes that the prestige of the evaluators' institutional affiliations and their accomplishments should be taken into account in

selecting them. Evaluators should ordinarily hold the rank of Professor or its equivalent at peer institutions. However, evaluations from recognized experts in the field should always be sought, regardless of institutional affiliation. Some examples may include those outside the academy, scholars in emerging fields, or experts who have not yet achieved the rank of Professor. In these cases, the rationale for choosing these evaluators shall be provided by the Unit's APT Review Committee in the external evaluator credentials section of the dossier. It is recommended that external opinions for promotion and tenure be based on the unit criteria here at the University of Maryland rather than reference to the reviewer's institutional standard.

In addition, standardized procedures governing the solicitation of external reviewers are recommended for employment across all units on the campus. Specifically, initial contact shall be made via email to establish whether the evaluator is available to provide a letter within the required time frame. The email should include an explicit deadline for reply in order to determine the need for contacting additional evaluators. The goal is to establish a consistent protocol for initiating contact. Once the evaluator has agreed, a formal packet of materials will be distributed. Such a strategy for initial contact should result in the avoidance of uninformed opinions that are offered without reference to the full dossier, thus promoting fairness and equity in the APT process.

Finally, the subcommittee recommends that candidates be given an opportunity to identify, a priori, those scholars in the field who would not likely provide an objective and informed review, while maintaining confidentiality of the expression of such opinions by the candidate (the request is confined to the unit head and Advisory Subcommittee). In this case, the candidate must provide a written statement with justification, which will be filed with the unit head and accessible to faculty involved in selecting external reviewers.

5. Teaching
The guiding principle for this subcommittee is to "Teaching and mentorship practices can vary widely across different disciplines. Despite these differences, the guidelines on tenure and promotion should provide a common framework in which the individual's activities as a teacher, mentor, and advisor can be fairly and accurately assessed against professional benchmarks and standards in his or her discipline as established at peer institutions. Evaluation of teaching should include a breadth of teaching indices and not be overly reliant on student evaluations, which, particularly when administered online, have a number of limitations and biases."

In essence, the subcommittee recommends evaluation of instruction in a more comprehensive manner to include, at a minimum, student evaluations and periodic peer reviews. Documentation of the candidate's teaching record should begin during the first year of appointment and should include the outcomes of periodic peer reviews, as well as any response from the candidate to those

evaluations, which could be included in the candidate's personal statement or teaching portfolio. Peer evaluation should proceed according to a rubric established at the unit level that is common to all candidates for promotion and to all evaluators. These periodic reviews should be made available to the candidate, and any response by candidates should be filed in the Chair's Office for inclusion in the APT dossier. A candidate-prepared teaching portfolio, which could include other materials that further characterize teaching effectiveness such as course syllabi, a statement of teaching philosophy, reflective assessments, learning out comes assessment materials or mentoring accomplishments, is a required element in addition to the APT dossier.

6. Mentoring
The guiding principle for this subcommittee is "Systematic guidance of Assistant and Associate Professors, achieved through a continuous, diversified (i.e., multiple mentors relative to differing elements of academic activity such as scholarship and mentoring), formalized, and documented procedure in the unit, is an essential element of the APT process to promote excellence in the faculty."

The recommendations are designed to promote an institutionalized developmental perspective for the promotion of junior and mid-career faculty through recognition of the need for guidance in the areas of scholarship, instruction, and service at both the Assistant and Associate professorial levels.

While each tenure-track candidate will be assigned at least one mentor, the candidate is encouraged to seek multiple mentors. Suggestions include senior faculty in the unit, who can provide valuable information regarding the history and culture of the unit, as well as recently promoted faculty who can provide recommendations for navigating the process. Mentoring should not end with an award of tenure, but should be continued, if so desired, by the candidate. Associate Professors may decline the offer for continued mentoring by formally notifying the Department Chair. It is recommended that mentoring Assistant and Associate Professors is critical to maintaining excellence at the University and is essential to the APT process. Mentoring of tenure-track faculty should be done systematically with annual formal meetings; at least until the tenure review is completed, with supportive and constructive feedback given to the candidate. The Chair should oversee the unit's mentoring process to ensure its effectiveness.

In addition, the mentoring process will be enhanced through the Task Force's recommendation for periodic peer review of teaching with feedback and "coaching" through the use of structured rubrics. Such a process may be facilitated through synergistic efforts with the Center for Teaching Excellence.

7. Work-Life Balance
The guiding principle for this subcommittee is "Promotion and tenure policies will acknowledge that candidate dossiers can differ based on life circumstances and the allowances of work-life policies. Such recognition will decrease the probability

that faculty who avail themselves of these policies are discriminated against in the promotion and tenure system (implicitly or explicitly)." The express goal of the recommendation is recognition of work/life balance in individual faculty trajectories without discrimination (i.e., delay of tenure clock based on family and professional considerations such as establishment of a laboratory).

The subcommittee recommends informing the external reviewers of any time extension or delay of the tenure clock in accordance with University of Maryland policy and that faculty shall not be disadvantaged upon review as a result of such an extension. An explicit statement is advised in the letter requesting the external review "to evaluate Dr. XXX's dossier as if it were completed in the ordinary period for review, which is XX years from appointment."

8. Candidate Notification

The guiding principle for this subcommittee is "To foster transparency of the promotion and tenure process within the constraints of requisite confidentiality."

The recommendations are designed to promote clarification of timing and similarity of the notifications received from Department Chairs and Deans in the promotion process. In this manner, both the first-level and second-level administrators, respectively, must notify candidates in writing, regardless of the outcome, summarizing the Chair's/Dean's and the APT Review Committees' decisions and reasoning, and the numeric vote within two weeks of each administrator's decision. In cases of new appointments, inclusion of the vote count is not required.

In addition, a goal of the recommendations is to promote appropriate transparency in the review process and accuracy of content in the dossier via examination and confirmation of the record by the candidate of all non-evaluative elements (i.e., CV, Personal Statement, Summary Statement of Professional Achievements, reputation of publication outlets, teaching and mentoring records, peer evaluation of teaching, unit APT criteria and any approved agreement for modification of criteria) as indicated through the candidate's signature and date.

9. Expedited Reviews for "Star" Appointments

The guiding principle of this subcommittee is "Hiring of the highest quality faculty is critical to the mission of the University of Maryland. In this regard, attracting "star" professors can have a strong, positive impact. Inflexibility in the APT process and the length of time required to get dossiers approved in the current system can work against the hiring of "star" professors. Accordingly, processes with regard to these hires should be rigorous, but reasonable."

The recommendation is intended to promote procedures for efficient evaluation of "star" appointments that maintain the integrity of the unit-level evaluation so as to balance the interests of integrity and efficiency in the APT process. Specifically, the subcommittee recommends that in cases where a unit has identified a potential faculty hire it has reason to believe is highly competitive and

warrants an expedited review ("target of opportunity" appointment) the review process can be streamline. It is anticipated that there would be relatively few appointments of this nature. To qualify for this streamlined process, candidates would be nominated by both the Chair and the Dean and approved by the Provost's Office. Such candidates normally would hold tenure and comparable rank at another institution. The streamlined process could also be used for scholars considered for administrative positions. Appointments at this level for consideration of tenure could substitute three evaluative letters from the search process for the three external reviewers nominated by the candidate, and the candidate's CV submitted in connection with the search may be used, and need not be signed. The review process would proceed as follows: (1) the first-level review would take place per current practice in that unit; (2) a review by a three-person ad-hoc committee formed by the Dean (composed of current College APT Review Committee members); (3) a review by the College Dean; and (4) a review by the Provost and final decision by the President. For non-departmentalized Colleges, the review at the campus level should include a review by an ad-hoc committee formed by the Provost with a minimum of three persons drawn from members of the current University APT Review Committee.

10. Standard Format
The guiding principle for this subcommittee is to "Develop a standard format for APT dossiers that will make the evaluation of cases more *efficient* and will facilitate a full and fair review of each candidate."

Subscription to a standard format of dossier structure will promote efficiency in the presentation of the candidate's record through avoidance of repetition (i.e., ordering of materials to reflect deference to the unit evaluation, followed by the College level). Of note, both the Chair's and Dean's letters should include an independent assessment of the candidate, record of the APT Review Committee's vote, and explanation of any votes at that level, while avoiding unnecessary repetition of prior reports contained in the dossier. The inclusion of quotations from external evaluators' letters and the Department APT Committee report should be avoided. In addition, the new structure provides recognition of the weight given to the instructional and mentoring element of the dossier by alteration of its location.

Final Note

Although the recommendations to enhance the integrity of the APT process were derived independently by the various subcommittees, the Task Force recognizes the interdependence and synergy between the goals of the various groups. In this manner, equity, fairness, and inclusion in the APT process is enhanced not only by the actions specifically intended to promote fairness (i.e., the work of subcommittee #1), but by the coordinated impact of many of the suggested changes from the recommendations of other subcommittees. These include recognition of emerging forms of scholarship, the selection of external reviewers

based on expertise regardless of institutional affiliation, the mentoring process complemented by peer evaluation of instruction, and appropriate recognition of work-life balance resulting in delays of the tenure clock.

RECOMMENDATIONS

I. APT Policy

The Task Force recommends that revisions to the APT Policy be made to ensure that it aligns with the University's principles on equity, fairness, and inclusion, the broad range of scholarship, the importance of mentorship, a fair and just review, transparency in the review process, and consideration of a variety of evidence of teaching as outlined in the Revised University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)).

Candidate Notification
- Allow the candidate to review non-evaluative elements of the dossier: Reputation of Outlets, Student Evaluations of Teaching, the Record of Mentoring/Advising/Research Supervision, unit APT criteria and any approved agreement for modified criteria to be reviewed by the candidate for accuracy in section IV.A.6 First-Level Review.
- Require Dean's notification to the candidate, regardless of decision. IV.D. Notification to Candidates for Tenure and/or Promotion.
- Does not require the inclusion of the vote count in the case of new appointments.

Equity, Fairness, and Inclusion
- Revise the Purpose of the Policy section to include language about an equitable environment.
- Update language on affirmative action guidelines with the principle of equity, inclusion and fairness in sections II. CRITERIA FOR APPOINTMENT AND PROMOTION; and III. APPOINTMENT OF FACULTY; III.A.2 Search Process.
- Include language about the importance of a fair, unbiased, and impartial evaluation in section IV. PROMOTION, TENURE, AND EMERITUS REVIEW.

Scholarship/Innovation & Entrepreneurship/Interdisciplinary Research
- Include a broader definition of scholarship that also includes interdisciplinary research, innovation, and entrepreneurship in section II.B. Research, Scholarship, and Artistic Creativity.
- Include timeline and process and for exceptional arrangement that requires a written agreement for modification of criteria for tenure and/or promotion.

Mentorship
- Provide for the systematic mentoring of Assistant and Associate Professors (potentially multiple mentors) and require that units develop their own mentoring plans (if not already in place) in section IV.A.3 First-Level Review.

<u>Teaching</u>
- Specify the mandatory inclusion of a teaching portfolio in the review process, in section II.A. Teaching and Advisement.
- Specify the inclusion of a teaching portfolio to be included in addition to the dossier in section IV. PROMOTION, TENURE, AND EMERITUS REVIEW.
- Requires that departments engage periodic and systematic peer evaluation of teaching in section II.A. Teaching and Advisement.

II. APT Guidelines

The Task Force recommends that the University of Maryland Guidelines for Appointment, Promotion, and Tenure, as revised at the end of the report, be accepted and approved by the Senate and President.

III. Administrative Recommendations

The Task Force recommends that the Associate Provost for Faculty Affairs distribute an annual letter to all administrators involved with APT review committees (Chairs of Department APT Review Committees, Department Chair, College APT Chairs and Review Committees, University-level APT Review Committees) reminding them of the importance of conducting a fair, unbiased, and impartial evaluation. This letter will include explicit statements that discussions of the candidates by the committee members should avoid inappropriate comments, such as disparaging remarks about personal characteristics, tenure delay(s), cultural background, group membership, and personality traits. Chairs of the Unit-level APT Review Committees will distribute the letter to the voting faculty at the inception of the review process. This letter shall be referenced prior to the evaluative meeting and when inappropriate discussions arise.

The Task Force recommends that the Office of Faculty Affairs develop the following documents to be included as appendices of the University APT Manual:
- Examples of teaching portfolio elements;
- Proposed text for the email request for availability to potential external evaluators;
- Updates to any existing forms/documentation regarding the APT process.

In addition, the Office of Faculty Affairs should keep a file of all unit mentoring plans and revised promotion criteria once developed/revised.

IV. Education & Training

The Task Force recommends that Department Chairs and Deans be provided information and opportunities for training regarding the revisions to the University of Maryland Guidelines for Appointment, Promotion, and Tenure and the University of Maryland Policy Procedures on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)) as outlined in the report. Specifically, leadership training about mentoring, peer evaluations of teaching, work-life balance, and equity, fairness, and inclusion should be emphasized.

V. Implementation Plan

The proposed revisions to the University of Maryland Guidelines for Appointment, Promotion, and Tenure and the University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)) will be effective upon final approval and are expected to be fully implemented for the 2015-2016 academic year for all tenured/tenure-track faculty. It is expected that implementation of the majority of the proposed changes will not disrupt the current promotion process. However, in cases where specific elements of the revisions to the Guidelines and Policy are impractical or disadvantageous to an existing faculty candidate, it is incumbent upon the unit head to explain the rationale for any deviations in the Department Chair's Letter in the dossier.

VI. Review Cycle

The Task Force supports the annual review of the University of Maryland Guidelines for Appointment, Promotion, and Tenure by the Office of Faculty Affairs to consider how best to address specific issues that arise during each review cycle. However, the Task Force believes that a holistic review of the entire document will help provide a broad perspective on interrelated issues, as well as address the changing landscape of higher education. Therefore, the Task Force recommends that the University of Maryland Guidelines for Appointment, Promotion, and Tenure be reviewed every five years by a Joint Provost/Senate Task Force, as deemed necessary. In the fourth year of the review cycle, the Associate Provost for Faculty Affairs will report to the Senate Faculty Affairs Committee on annual changes and evolving trends in higher education since the last review, to determine whether a formal review is necessary. However, the Associate Provost for Faculty Affairs and the Senate Faculty Affairs Committee may convene a review earlier in the cycle upon mutual agreement.

The Task Force recommends that the University of Maryland Policy and Procedures on Appointment, Promotion, and Tenure of Faculty (II-1.00 (A)) be reviewed every ten years. A joint Senate/Provost Task Force should conduct the review.

Table of Contents

Introduction

KINDS OF INFORMATION

This manual contains three kinds of information. Discussion of the **APT Policy (In Appendix ~~D~~),
marked in bold, will be cited by ~~paragraph~~ section number ~~and page~~ (e.g., APT Policy Section
III.B.1~~, page 18~~)**. References within the ~~document~~ **manual** are hyperlinked for convenience.
Mandatory procedures for dossier preparation are in this default font. *Useful suggestions for the
content of the dossier and review process are printed in italics.* When there is a link to other
information, it will be ~~live~~ **active** ~~if you're~~ **when** viewing the manual electronically.

THE STRUCTURE OF REVIEWS

Faculty members have their tenure homes in Departments, and Departments are combined into
Colleges. Actions at both levels are governed by campus-wide policies. ~~the most general level of
organization;~~ **In accordance with Board of Regents Policy on Appointment, Rank and Tenure,
II-1.00, an award of tenure and promotion can only be awarded by an affirmative decision by
the President based upon a formal review. Board of Regents Policy dictates that each
institution have written procedures governing the promotion and tenure process. This
institution's written procedures are set forth in the University of Maryland Appointment,
Promotion and Tenure Policy and Procedures II-1.00(A). In keeping with this campus'
commitment to shared governance, at this University a decision by the President to award
tenure follows advice and recommendations from both administrators and a faculty APT
Review Committee at each of three levels: Department, College and University. Reviews are
conducted as follows: (1) at the first level by (a) the Department Faculty APT Review
Committee and (b) Department Chair; (2) at the second level by (a) the College Faculty APT
Review Committee and (b) the Dean; and (3) at the third level by: (a) the University Faculty
APT Review Committee and (b) the Provost. In Colleges and Schools that are not
departmentalized, there are only two levels of review and recommendations prior to a final
decision by the President; the College/School Faculty APT Review Committee and Dean
function as the first level of review.** ~~in keeping with the campus commitment to shared
governance, advice about promotion and tenure at each of these levels is provided by a faculty APT
Review Committee and by an administrator. Hence, there are ordinarily six sets of
recommendations to the President. The order of review is from the most specific level, the
Department APT Review Committee and Chair, through the College APT Review Committee and
Dean, to the Campus APT Review Committee and Provost. The final decision is made by the
President. When a College is not departmentalized, the first review begins at the College (in which
case four sets of recommendations go to the President)~~
**In this University APT Manual containing both the required procedures, implementation and
recommended guidelines, suggestions and advice for tenure and promotion review, the
terms "Department" and "Chair" are equivalent to the "first-level unit" and "unit head" (in
the case of non-departmentalized ~~c~~Colleges and ~~s~~Schools, this refers to College/School and
Dean).**

EQUITY AND FAIRNESS IN THE REVIEW PROCESS

Proactive Procedure: To encourage a fair and equitable review process for the candidate, the Associate Provost for Faculty Affairs will send out a letter to all faculty review committees and administrators at each level reminding them of the importance of conducting a fair and unbiased evaluation. This letter will state that discussions should avoid disparaging or prejudicial comments. It will include an express admonition that the evaluation of the candidate may not be based on factors such as a candidate's sex, race, sexual orientation or other protected personal characteristics. In addition, the letter will stress that neither a candidate's part-time status nor any extension of the mandatory tenure review year authorized pursuant to policy may be held against them, and that such candidates shall be evaluated according to the same criteria applicable to other candidates. Chairs of the unit-level APT review committees are to distribute the letter to the voting faculty at the inception of the review process. This letter shall be referenced prior to the evaluative meeting and when inappropriate discussions arise. In departmentalized Colleges, Associate Deans of Faculty Affairs and College Diversity Officers are encouraged to formally charge individual Department APT Review Committees prior to the review process, paying specific attention to equity-related issues. Additionally, the Associate Provost for Faculty Affairs and the Chief Diversity Officer will arrange to formally charge College APT Review Committees.

Promotion and tenure committee members shall be informed when a candidate stopped the tenure clock, or was on a part-time tenure clock and informed that these are university-supported policies. The focus of discussion and decision-making in APT review committees should be on the candidate's performance in meeting criteria set forth by the Department, College, and University, and not how long (e.g., an extra year) it took to meet those criteria. This recommendation applies to faculty being evaluated for tenure, as well as those with tenure being evaluated for promotion.

Procedures to Follow Observed Actions of Concern: Should faculty members of the APT Review Committee (as witnesses) believe that inappropriate comments have been made, such as disparaging remarks referencing tenure delay(s), part-time appointments, cultural background, group membership, and/or personality traits, they are encouraged to raise their concern during the meeting, citing the Administration's letter. That faculty member may also discuss the issue confidentially with the APT Review Committee Chair, or with the Associate Provost for Faculty Affairs.

USEFUL DEFINITIONS

APT Review Committee

Group of voting faculty at or above the rank sought by the candidate who deliberate and vote on whether to award appointment, promotion, or tenure. There are three levels of APT Review Committee – Department, College, and Campus.

Advisory Subcommittee

Optional subgroup of voting-eligible faculty who gather information for the review, and who may author the APT Review Committee Evaluative Report, which they sign.

Joint Appointment

When a faculty member holds simultaneous appointments (of any percentage) in more than one Department or other Unit (e.g., Center or Institute). Tenure is sought in the primary Department, or tenure home of the candidate.

Quorum

~~Amount~~ **Number** of eligible voting members needed to conduct a valid vote on whether to award appointment, promotion, or tenure based on codified Department methods of operation. **Quorum is calculated based on the Department or College plan of organization, which should also include information on how absences affect the quorum.**

Votes possible for deciding to award appointment, promotion or tenure based on criteria:

- **Yes**
- **No**
- **Abstention** (two types): these actions count toward quorum
  - **Mandatory:** a faculty member who has a conflict of interest (e.g., a family member or partner of the candidate), or who has already voted at a lower level
  - **Voluntary:** a faculty member who chooses not to vote (this should be explained in summaries and letters)
- **Absent**: not present in person or via teleconference (if **the latter is** allowed by Department or College plan of organization)~~; this lowers the quorum.~~

Timeline for the APT Process

This schedule is just a recommendation, and it does not include every detail of the process.

	FACULTY	ADMINISTRATION	STAFF
WINTERTERM			Finalize this year's dossiers for uploading to Faculty Affairs website. Make dossiers searchable. Add bookmarks, password. Set dossier display. Upload to Faculty Affairs website.
	Prepare / update CV. Prepare personal statement. Develop list of external evaluators. Choose materials that will be sent to external evaluators.	Begin developing list of faculty who will be reviewed in the fall. Double-check for joint appointments and for non-mandatory reviews. ~~Review and update promotion criteria.~~	Gather preliminary materials (e.g., promotion criteria, reputation of publication outlets) for next year's dossiers.
SPRING	Prepare / update **teaching portfolio and** supplemental dossier materials, such as ~~syllabi, assessments, and~~ selected publications.	Choose and prepare materials to be sent to external evaluators. Request external evaluations.	For each candidate, set up transmittal form. Prepare letter log. Prepare student teaching evaluation summary tables. Prepare citation counts.
SUMMER		Schedule committee meetings. Follow up with external evaluators as needed.	Begin dossier for each candidate. Update letter log; add external evaluator letters as they are received.
FALL	Create CV addenda as needed.	Committee members prepare ~~s~~Summary ~~s~~Statement of ~~p~~Professional ~~activities~~ **Achievements and provide this, along with other non-evaluative materials** for candidate's review/ signature. Department and ~~c~~College-level review committee meetings held. Notify candidates. Chairs/ ~~d~~Deans write evaluative letters.	Update transmittal forms with meeting dates, votes. Add committee reports and ~~c~~Chairs', ~~d~~Deans' letters to dossier as they become available.

Information for the Candidate

~~Your~~ **A candidate's** preparation for tenure and promotion review begins when ~~you~~ **the candidate** enter**s** the University. Soon after ~~you~~ **the candidate** arrive**s**, APT policy calls for ~~your~~ **the unit** administrator

a) to provide ~~you~~ **the candidate** with a written copy of the promotion guidelines and promotion criteria by which ~~you~~ **he or she** will be evaluated **(APT Policy Section II~~, page 55~~; Section IV~~, page 62~~)** and

b) to appoint one or more senior faculty mentors (**APT Policy Section IV.A.3~~, page 66~~;** see also the Senate Task Force Report available at www.faculty.umd.edu/faculty/mnt_ndx.html). **While each tenure-track candidate will be assigned at least one mentor, the candidate is encouraged to seek out multiple mentors. Suggestions include senior faculty in the unit, who can provide valuable information regarding the history and culture of the unit, as well as recently promoted faculty who can provide recommendations for navigating the process. Mentoring should not end with an award of tenure, but should be continued if so desired by the candidate. Each unit will offer mentoring by one or more members of the senior faculty to each Associate Professor, on an ongoing basis to support the professional development of the candidate. Associate Professors may decline the offer for continued mentoring by formally notifying the Department Chair. Candidates should meet regularly (at least annually) with their academic mentors in order to seek guidance and obtain constructive feedback on progress toward meeting the unit's requirements for tenure and promotion. Units should also help faculty members locate mentors in other units, if desirable.**

Review for tenure and promotion is the University's primary means for ensuring a productive and accomplished faculty befitting an outstanding research university. ~~Faculty members~~ **Candidates are expected to demonstrate accomplishment in three areas: (1) research, scholarship, or creative activity; (2) teaching, advising, and mentoring; and (3) service (APT Policy Section II~~, page 55~~; Section IV~~, page 62~~). The Board of Regents APT Policy also provides that consideration may be given to "creative activities or other activities that result in the generation and application of intellectual property through technology transfer." (USM Policy on Appointment, Rank, and Tenure of Faculty, II.B.1) Recognition in the tenure process will be given to the broad range of entrepreneurial, public engagement, and creative activities in which faculty engage, which units may define in their criteria for tenure and promotion. These entrepreneurial and/or engaged scholarly activities must enhance one or more of the criteria on which faculty are evaluated (research, scholarship, and artistic creativity, teaching, and service) and should be consistent with the mission on the unit and scholarly expertise of the candidate. Professional activity may be included in the area of scholarship, research, and creative activity if it meets the evaluative criteria of expertise, peer review, impact, and significance.** Colleges and Departments must have ~~written~~ explicit **written** ~~evaluative~~ criteria **that should be rigorously evaluated for high quality, distinction, and impact** covering these dimensions of the process.

THE REVIEW PROCESS

~~Three~~Third-Year Review

There will be a formal, intermediate review of ~~your~~ the candidate's progress toward meeting the criteria for tenure and promotion in the third year of ~~your~~ appointment (APT Policy Section IV.A.3~~, page 66~~). This review ~~will be structured like the review for tenure and/or promotion, but~~ **should include a formal evaluation of the candidate's progress in the areas of research, teaching, and service, and** will generally not involve external evaluators. **A copy of the third-year review letter will be provided to the candidate and filed in the office of the next-level administrator.**

Review for Tenure and/ or Promotion

~~As a candidate~~ **Candidates** for promotion and tenure~~, you~~ will be reviewed at the ~~d~~**D**epartment level by the Department APT **Review** Committee, and ~~your~~ **the** case will be voted on by all ~~d~~**D**epartment faculty members who are at or above the rank ~~you are~~ **the candidate is** seeking. If ~~you~~ **the candidate** hold**s** a joint appointment, ~~your~~ **the** dossier may be reviewed by the APT **Review** Committee of ~~your~~ **the** secondary unit as well **(prior to review in the tenure home)**. Following the committee review, ~~your~~ **the** ~~d~~**D**epartment ~~c~~**C**hair ~~(or chairs, in a joint appointment)~~ will evaluate ~~your~~ **the** dossier. Next, the dossier is reviewed by the College level APT **Review** Committee, by the Dean of the College, and finally, it is sent to the Campus level APT **Review** Committee, which makes a recommendation about ~~your~~ tenure and promotion to the President, through the Provost. These reviews usually take place during the sixth year of ~~your~~ **the** appointment. Some faculty may seek a non-mandatory (i.e., early) tenure review, and others may receive one or more delays of their mandatory tenure review**, following campus policy on extension of time for tenure review (University Policy II-1.00(D)).** From start to finish, the APT review process takes about a year, though ~~you~~ **candidates** should be looking ahead to tenure review from the day ~~you~~ **they** begin at the university.

Because ~~your~~ **the** tenure dossier will be reviewed by so many people who may or may not be familiar with ~~you~~ **the candidate** or ~~your~~ **his or her** work, the information in the dossier ~~that you~~ provide**d** should be well-prepared and in a form that is as clear as ~~you can make it~~**possible**. ~~Your~~ **The candidate's** mentor**(s)** can help with advice about preparation of those materials. The information in the dossier must remain the same as ~~the dossier~~ **it** moves from one review level to the next, other than any necessary addenda to ~~your~~ **the** *CV*.

Withdrawal from Consideration

Candidates for promotion may voluntarily withdraw from the review process at any time prior to the President's decision by writing a letter to the Department Chair (APT Policy Section IV.A.5~~, page 67~~). Copies of the letter of withdrawal should be forwarded to the Dean**, the Chair of the APT Review Committee,** and Office of Faculty Affairs. **When an untenured faculty member withdraws at the time of mandatory review, the faculty member is entitled to an additional terminal one-year ~~contract~~ appointment at the individual's current rank (APT Policy Section IV.F.4~~, page 73~~). This terminal appointment does not apply for withdrawals by candidates for early tenure or promotion to Professor/Principal Agent.**

Denial

If either the Department APT Review Committee or the Chair supports the case, it goes forward (APT Policy Section IV.A.5~~, page 67~~).

When a candidate receives a negative recommendation by both Chair and Department APT Review Committee, the review will not proceed further and the candidate must be notified of the situation. The Chair must also inform the administrator at the next level (e.g., Dean) who must certify that the procedures to evaluate the candidate conformed to the regulations in the APT Policy (APT Policy Section IV.A.5~~, page 67~~).

THE CURRICULUM VITAE

The University has a recommended format for ~~your~~ CV**s**, in which information is organized according to the three areas on which ~~you~~ **candidates** will be evaluated:

1) Research, scholarship, or creative activity
2) Teaching, advising, and mentoring
3) Service

~~Your~~ **The** CV should present an accurate portrait of ~~your~~ **the candidate's** accomplishments in <u>as concise a manner as possible</u>. There is a <u>template</u> available on the Faculty Affairs website. ~~Your~~ **The** CV must be signed and dated when ~~you~~ give**n** ~~it~~ to the department staff member who will create ~~your~~ **the** tenure dossier. This indicates that it is up to date and accurate **(APT Policy Section IV~~, page 62~~)**. ~~Your~~ **The** CV will be included in each request for external evaluation.

To aid review committees, the CV should include the following information, in the order shown:

Personal Information

List name, Department (joint appointments indicating percentage of each), current rank, year of University appointment to current rank, educational background (including institutions, dates and degrees), and employment background (in chronological order or its inverse).

Research, Scholarly or Creative Activities

Scholarship is defined as the discovery, integration, engagement and transmission of knowledge. The quality of scholarship is assessed through peer review, impact, and significance. The onus is on the candidate to present documentation that his or her work meets these criteria. Such documentation will include traditional means (e.g., citations, journal impact factors) but may also take other forms. In each category, published works should be listed first, in either chronological order or its inverse, followed (or preceded) by works not yet published but accepted for publication. All of the works listed in this section should be numbered. **Work that has been submitted** ~~Pieces in preparation that are not completed and~~ **but** <u>not **yet** accepted for publication should not appear on a CV</u>.[1] ~~You~~ **The candidate** should distinguish between authored and edited works and refereed vs. unrefereed outlets and should clarify the status of unpublished works (e.g.**,** accepted, in press). All authors should be listed in the order they

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[1] The one exception is working papers, customary in certain fields such as economics and mathematics. These should be listed under "Monographs, Reports and Extension Publications."

appear on the publication. In exceptional cases, e.g., when the work is a product of a large group (more than 10 authors), not all authors need be listed. As an example, ~~you~~ **the candidate** may list the first three, the last three, and ~~yourself~~ **the candidate him or herself** (including ~~your~~ place**ment** in the total author list). That is, if a candidate named "Candidate" is the 97th author, the citation may be listed as: *Smith, Jones, Curley...Candidate (97th)...Moe, Larry, Shemp* (total of 189 authors). Candidates should designate the identity of the author with intellectual leadership on jointly authored papers (if this designation can be appropriately ascertained) by using * or placing that name in bold, and identifying which co-authors they mentored as undergraduate and graduate students, postdoctoral researchers, faculty research assistants, and junior faculty. **Candidates should clearly characterize their contribution(s) to a collaborative activity, as practiced in the Department.** When the research is published in a foreign language, the translation of the title should be included.

1. Books[2]
    1. Books authored. Specify original or revised edition.
    2. Books edited.
    3. Chapters in books.
2. Articles in Refereed Journals. Full citation, inclusive of all authors in the order of publication and page numbers. Review articles and invited articles should be so identified.
3. Monographs, Reports and Extension Publications.
4. Book Reviews, Other Articles, Notes.
5. Talks, Abstracts and Other Professional Papers Presented.
    1. Invited talks, etc.
    2. Refereed conference proceedings.
    3. Unrefereed conference proceedings.
6. Films, CDs, Photographs, Web Pages, etc.
7. Exhibits, Performances, Demonstrations and Other Creative Activities.
8. Original Designs, Plans, Inventions, Software and/or Patents.
9. **Entrepreneurial, Technology Transfer, and Public Engagement Activities.**
10. Contracts and Grants. List source, title, amount awarded, time period and role (e.g., principal investigator) in reverse chronological order. List co-investigators, if any.
11. Fellowships, Prizes and Awards.
12. Editorships, Editorial Boards and Reviewing Activities for Journals and Other Publications.
13. Other (specify type)

Teaching, Mentoring and Advising

1. Courses taught in the last five years. Indicate enrollments and unusual formats.
2. Course or Curriculum Development.
3. Textbooks, Manuals, Notes, Software, Web Pages and Other Contributions to Teaching.
4. Teaching Awards and Other Special Recognition.
5. Advising (other than research direction): Indicate numbers of students per year.
    1. Undergraduate
    2. Graduate

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[2] Specify whether a manuscript has been accepted without the need for further revisions.

3. Other advising and mentoring activities (advising student groups, special assignments, recruiting, faculty ~~membership~~ **mentorship**, etc.).
6. Advising: Research Direction. This refers to students whose projects the candidate has directed as chair. The name of the student and academic year(s) involved should be indicated, as well as placement of the student(s), if the project is completed.
   1. Undergraduate
   2. Master's
   3. Doctoral
7. **Contribution to learning outcomes assessment.**
8. Extension**, Entrepreneurship, and Public Engagement** Activities. Major programs established, workshops, presentations, media activities, awards, honors, etc.

Service

1. Professional.
   1. Offices / memberships held in professional organizations (include dates).
   2. Reviewing activities for agencies.
   3. Other unpaid services to local, state and federal agencies.
   4. Other non-University committees, commissions, panels, etc.
   5. International activities not listed above.
   6. Paid consultancies.
2. Campus.
   1. Departmental.
   2. College.
   3. University.
   4. Special administrative assignments.
   5. Other.
3. Community, State, National.
4. Service Awards and Honors.

Addenda to the CV

If there are subsequent changes to ~~your~~ **the candidate's** credentials, such as additional funding or new publications, they may be recorded as an addendum to ~~your~~ **the** CV, which can then be included in the dossier. The addendum must also be signed and dated.

THE PERSONAL STATEMENT

This statement provides candidates with the opportunity to make a case for their promotion based on a demonstrated record of achievement in research, scholarship, or creative activity, teaching and mentoring, and service. The statement ordinarily describes the questions addressed by the candidate, ~~and indicates~~ explains their importance to the candidate's field, and indicates progress made in addressing these questions and directions of future creative work (APT Policy Section IV~~, page 62~~). It is incumbent on candidates to show that the work calls upon their academic and/or professional expertise, and to demonstrate the excellence of their work based on the unit's criteria for excellence, using such evidence as:

- **Peer review**
- **Impact**
- **Significance/Innovation**

If the candidate has been involved in collaborative activities, he or she should explain the extent of participation and type of contribution. These statements should be relatively short, 3-4 pages, and directed toward readers who are not specialists in the candidate's field. The personal statement must be signed and dated. The statement must be included in each request for external evaluation. **The document may not be changed after it is given ~~submitted~~ to the APT Review Committee ~~representative~~ and sent to ~~for~~ external reviewers ~~letter writers to evaluate~~ (APT Policy Section IV~~, page 62~~).**

TEACHING PORTFOLIO

In addition to **materials for** the tenure **and/or promotion** dossier, ~~you~~ **the candidate will prepare a teaching portfolio, according to Department guidelines, which could include the following types of items: course syllabi; a statement of teaching philosophy; reflective assessments; learning outcomes assessment materials; and mentoring accomplishments, such as placement of advisees in academic and professional positions. Examples of teaching portfolio elements are included in the Appendix.**

SUPPLEMENTAL ~~DOSSIER~~ MATERIALS

The candidate may wish to ~~prepare an optional supplemental dossier, which might include syllabi from your courses, examples of assessment, and evaluations of your teaching. This dossier may also include representative pieces of scholarship~~ **include representative pieces of scholarship or descriptions of awards and honors in** an optional supplemental dossier**.**

THE CANDIDATE'S RESPONSIBILITIES:

- Providing ~~your~~ **the** *Curriculum Vitae* in the approved format. The document must be signed and dated to indicate that it is a complete and accurate record of ~~your~~ accomplishments.
- Providing a Personal Statement which makes a case for ~~your~~ tenure and/or promotion based on the facts in ~~your~~ **the** *curriculum vitae*, on ~~your~~ **the** ~~d~~**D**epartment's criteria for Promotion and Tenure, and on ~~your~~ **the** perspective of ~~your~~ achievements in the context of ~~your~~ **the** discipline.
- **Suggesting the names of three or more qualified external evaluators (APT Policy Section IV.A.2~~, page 66~~). These should be widely recognized authorities in** ~~your~~ **the field.** ~~You~~ **The candidate** may not contact evaluators to determine their willingness to provide information, or to inquire about the contents of the evaluation. The evaluators ~~you~~ nominate**d by the candidate** should be familiar with ~~your~~ **the candidate's** work, but not collaborators ~~of yours~~. It is a good idea to nominate more than three, in case one of ~~your~~ **the** nominees is not available to serve as an external evaluator. **In this selection process, the candidate may also identify other individuals who might not be expected to give an objective review. In this case, the candidate must provide a written statement with reasons, which will be filed with the unit head and accessible to faculty involved in selecting external evaluators for the review.**

- Providing **a teaching portfolio with** documentation ~~on teaching~~ (e.g., syllabi, examinations, instructional materials, teaching evaluations ~~in a teaching portfolio~~).
- Providing publications or other forms of scholarship to the Department Committee.
- Selecting samples of scholarship for reviews by higher-level review Committees and working with the APT Review Committee to select materials for external reviewers.
- Providing any other relevant information requested by the Department Review Committee (e.g., of scholarly work, grant proposals, notification of awards).

APPOINTMENT CONSIDERATIONS

CONSIDERATIONS FOR INTERDISCIPLINARY, NON-TRADITIONAL, OR EMERGING SCHOLARSHIP

Scholarship is a dynamic process, and the University of Maryland recognizes that methodologies, topics of interest, and boundaries within and between disciplines change over time. Faculty are encouraged to engage in innovative discovery and dissemination. Several units are already accustomed to recognizing such different approaches and would not require modifications to existing unit criteria for tenure and/or promotion; however, many fields are challenged with assessment of faculty exploring non-traditional research paths. Such individuals will often publish in venues unfamiliar to faculty in their tenure homes, and may have different, though similarly important measures of impact, funding sources, and career networks. Examples of faculty practicing non-traditional scholarship include those who:

- Engage in emerging scholarship that spans more than one discipline, or has a non-traditional approach to an established discipline,
- Work in multiple traditional disciplines, or
- Are involved in scholarship outside that of the dominant model of their tenure homes.

Any exceptional arrangement that requires a modification of criteria for tenure and/or promotion shall be specified in a written agreement from the time of appointment up to the third-year review for untenured candidates, or at any time following the award of tenure, and shall be approved by the faculty and administrator of the first-level unit, by the Dean of the school or college, and by the Provost. (APT Policy Section II)

Each candidate should be made aware of the opportunity to request an agreement specifying a modification of criteria for tenure and promotion. This formal written agreement would specify the nature of the candidate's duties and obligations to the Department. It is recommended that the Department consult with a scholar from the relevant discipline(s), or one who does similar research, if applicable, to develop the agreement. Additionally, Chairs should assign appropriate mentors from a relevant discipline(s).

APT Review of Faculty with Agreements for Modified Unit Criteria

In cases where there is an agreement for modified unit criteria for tenure and/or promotion, Departments should consider identifying alternative venues and forms of dissemination of products of scholarship that would be acceptable alongside more traditional dissemination in their criteria for tenure and promotion. Examples might include:

- **Research or scholarly essays published in refereed journals or books, or accepted for publication in journals or books outside one's discipline.**
- **Peer-reviewed handbooks**
- **Cross-disciplinary analysis of extant literature**
- **Popularizations or applications of scholarly research and theory in journals**
- **Computer programs or other media products**

In reviewing candidates with agreements for modified criteria, APT review committees should include a professor knowledgeable in other discipline(s), from on or off campus, to serve in an advisory capacity to both the Advisory Subcommittee and the Department APT Review Committee. The Department may wish to have this professor present at the APT Review Committee meeting, in a non-voting capacity, in order to provide context for the candidate's work. The Chair of the Advisory Subcommittee for the candidate should ensure that some of the reference letters are from scholars who conduct research in the other discipline(s), or of a similar nature to that of the candidate. Faculty involved in the third-year review and the Department APT Review Committee should be provided with the agreement as part of their deliberations. Additionally, the executed agreement must be signed and dated by the candidate and included in materials for external evaluators, as well as in the APT Dossier for review at all levels.

INFORMATION ABOUT JOINT APPOINTMENTS

New joint appointments should include a copy of the memorandum of understanding (M.O.U.) between the two participating units. This M.O.U. should also be sent to the ~~faculty member~~ **candidate**. Ordinarily, the memo specifies:

- the tenure home;
- division of responsibility for the line and, where appropriate, arrangements for allocation of DRIF money, lab and office space;
- rights and obligations of the secondary unit(s) and conditions under which line responsibility might be renegotiated (e.g., if units disagree about promotion and/or tenure); and arrangements for reviewing renewal of contract and promotion (if appropriate).

Review of newly hired joint appointments as well as promotions for candidates with joint appointments: In joint appointments, the tenure home ~~d~~**D**epartment is referenced here as primary, usually the Department with the greatest fraction of the appointment line. It is the prerogative of the primary Department to grant tenure. However, because the rank held by an individual must be consistent across ~~d~~**D**epartments **or Units**, the primary Department needs to consider advisory input from the secondary Department or Unit (e.g., an Institute) as part of the APT review. **The Department may wish to have a representative from the other unit present at the APT Review Committee meeting, in a non-voting capacity, in order to provide context for the candidate's work.** The following scenarios reflect three different kinds of joint appointment.

Appointment split between two independent tenure granting ~~d~~Departments and ~~s~~Schools

To be eligible to vote within the Department the faculty member:

- **must hold a tenured appointment in the University,**
- **must be at or above the rank to which the candidate seeks appointment or promotion,**
- **must hold a regular appointment in the unit (with a given percentage of time attached),**
- **may only vote in a single unit providing the plan of organization permits it, and at only one level of review,**
- **must vote at the Department level of review and in the tenure home, when there is the opportunity to vote more than once.[3] (APT Policy Section IV.A.1, ~~page 64~~)**

STEP 1. *At the inception of the review, the Chair (or Directors) of the primary and secondary Departments or units are encouraged to coordinate the timing of the review process to obtain timely input from the secondary ~~d~~Department. They are also encouraged to draw up a mutual letter that solicits evaluation of the candidate. Ordinarily, this letter should be signed by both APT Chairs. The two units may wish to form a joint review committee consisting of members of both units, which then delivers the report to the respective units for a decision.*

STEP 2. The secondary unit should conduct a complete review and make its recommendation before the case is considered by the primary unit. The secondary unit's recommendation is for promotion to a higher rank, not tenure, because the secondary unit is not the individual's tenure home. The APT report of the secondary unit's review committee and its votes, as well as the recommendation of the administrator in the secondary unit, should be forwarded to the primary unit for consideration in its APT process. Thus, the secondary unit's review becomes part of the promotion dossier.

STEP 3. The primary unit votes based on its own review and the material furnished by the secondary unit. If the recommendations of the two units disagree, the Chair of the primary unit's APT Review Committee should provide a written list of questions to the administrator of the secondary unit and the spokesperson for the secondary unit's APT Review Committee, and invite them to meet with the primary unit to discuss the case.

The primary unit incorporates its input (from faculty and unit administrator) into the dossier, to forward it to higher levels of review. ~~The dossier moves on to the Dean.~~

STEP 4. The APT Review Committee for the College wherein the primary unit resides evaluates the entire Dossier that includes material from the primary and secondary units' reviews. This College APT Review Committee votes and writes a report, the Dean writes a letter, and the Dossier is submitted for evaluation by the Campus APT Review Committee. When disagreements arise between voting units, the Committee should inform and invite the APT Review Committee ~~c~~**C**hairs and administrators to discuss the case.

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[3] **Chairs and Deans cannot vote as faculty in their Departments. When there are fewer than three eligible voting faculty in a Unit, Deans may appoint faculty from related units as voting faculty, to ensure the APT Committee contains at least three persons. These faculty may not vote on the candidate more than once.**

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│                   OUTLINE OF THE JOINT APPOINTMENT / REVIEW PROCESS           │
│                                                                               │
│  Two Departments or Units meet to decide on external referees evaluators.     │
│          Letters are sent under joint signature of APT Review Committee Chairs;│
│          A joint advisory subcommittee or separate advisory subcommittee may  │
│          be appointed.                                                         │
│                                                                               │
│  Secondary uUnit performs review.                                             │
│          Secondary uUnit APT Review Committee votes and writes a report;       │
│          Secondary uUnit administrator writes a letter;                        │
│          Material is forwarded to Primary uUnit.                               │
│                                                                               │
│  Primary uUnit completes review.                                              │
│          The APT Review Committee considers its own material and the material  │
│          supplied by the                                                       │
│          Secondary uUnit committee;                                            │
│          Primary uUnit votes and writes a report;                             │
│          Primary uUnit administrator writes a letter;                         │
│                                                                               │
│  Primary College review.                                                      │
│          Primary College evaluates Dossier containing Primary and Secondary    │
│          Units' reviews;                                                        │
│          College APT Review Committee votes and writes report;                 │
│          Dean writes letter;                                                   │
│          Material is submitted for evaluation by the Campus APT Review         │
│          Committee.                                                            │
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Appointment split between tenure home and a "permanent" appointment in a secondary unit.

If a candidate holds a permanent appointment in a secondary unit that is neither a secondary dDepartment nor a non-departmentalized sSchool, the director's recommendation will be informed by advice from the relevant (at rank) faculty in the unit. The format of the advice will be determined by the tenure granting unit's plan of organization. If the input is in the form of a vote, the vote may not include input from those eligible to vote on the candidate at the Department level elsewhere. The director's advisory letter should be available to faculty in the primary unit before they vote.

Appointment split between tenure home and a temporary appointment in a secondary unit.

The secondary unit Chair/ Director writes an evaluative letter to the primary unit Chair, which is available to the primary unit faculty before they vote. Faculty in the temporary unit do not vote.

APPOINTMENTS TO SENIOR FACULTY RANKS

New faculty appointments to the ranks of Professor and Principal Agent carry tenure and must be reviewed under the University APT process. New faculty appointments to the ranks of Associate Professor and Senior Agent may be with or without tenure. New appointments to the ranks of Associate Professor and Senior Agent with tenure require review under the University APT process. New appointments to these ranks without tenure may proceed for review and approval by the

President based on a recommendation from the Provost, unless questions arise, in which case the President may direct that the proposed appointment undergo an unofficial ~~"tenurability"~~ **tenure** review by University APT review committees prior to presidential consideration. No offer of appointment to the rank of Associate Professor, Professor, Senior Agent or Principal Agent (regardless of tenure status) is valid in the absence of presidential approval.   New faculty appointments to the rank of Assistant Professor and Agent are not handled under the University APT process.

New appointments may be submitted at any time. All requests for new appointments must be accompanied by a separate memo that provides the information in Appendix A, ~~page 38~~ that is required for presidential approval of the appointment.

Dossiers for new appointments differ slightly from dossiers of candidates being promoted from within. They lack a Summary of ~~Personal~~ **Professional** Achievements and Personal Statement. They should, however, contain as much information as possible on the candidate's performance or potential performance as a teacher, mentor and advisor, as well as on the candidate's scholarship. External letters of evaluation should be solicited from reviewers suggested by the candidate and from reviewers suggested by the Department. For tenure cases, it is essential that the question of tenure be addressed, both in the APT reports and in external letters. Letters soliciting recommendations for a new tenured appointment should pose the question of whether the candidate merits tenure.

As there is generally no campus level committee review for a new appointment to Associate Professor or Senior Agent without tenure, this type of dossier includes only letters from the ~~d~~**D**ean, the ~~d~~**D**epartment ~~c~~**C**hair, and external evaluators, along with the candidate's CV and other supporting documents, if they exist. Based on these documents, the Provost will make a recommendation to the President regarding the appointment.

EXPEDITED APPOINTMENTS

In cases where a unit has identified a potential faculty hire it has reason to believe is highly competitive and warrants an expedited review (sometimes referred to as a "target of opportunity" appointment), the review process can be streamlined. It is anticipated that there would be relatively few appointments of this nature. To qualify for this streamlined process, candidates would be nominated by both the Chair and the Dean and approved by the Provost's Office. Such candidates normally would hold tenure and the comparable rank at another institution. The streamlined process could also be used for scholars considered for administrative positions. Appointments at this level for consideration of tenure could substitute three evaluative letters from the search process for the three external reviewers nominated by the candidate, and the candidate's CV submitted in connection with the search may be used, and need not be signed. The review process would proceed as follows: (1) the first-level review would take place per current practice in that unit; (2) a review by a three-person ad-hoc committee formed by the Dean (composed of current College APT Review Committee members); (3) a review by the College Dean; and (4) a review by the Provost and final decision by the President. For non-departmentalized Colleges, the review at the campus

level should include a review by an ad-hoc committee formed by the Provost with a minimum of three persons drawn from members of the current University APT Review Committee.

STEPS IN THE REVIEW OF FACULTY

	Dept. APT Review Committee*	Dept. Chair*	College APT Review Committee	Dean	Campus APT Review Committee	Provost	President
Promotion or New Appt. Assoc. & Full Prof, Sr. & Principal Agents w/ or w/o Tenure; Coll. Park Profs	✳	✳	✳	✳	✳	✳	✳
Emerita/us	✳	✳		✳		✳	✳
Reappointment College Park Professor		✳		✳		✳	✳
New Appt. Prof. of the Practice	✳	✳		✳	Assoc. Provosts	✳	✳
Reappointment Prof. of the Practice		✳		✳	Assoc. Provosts	✳	✳

* Note: In non-departmentalized colleges the review originates with the eligible voting faculty and the Dean of the College, and then proceeds to the Campus APT Review Committee (where appropriate) and then the Provost and President.

DEPARTMENT APT REVIEW COMMITTEE MEMBERS

The Department APT Review Committee has the key responsibility of preparing and soliciting review materials that will be the foundation of the candidate's dossier:

- Choosing external evaluators and requesting their evaluations
- Evaluating the candidate's publications and preparing a report on the reputation of publication outlets
- Gathering reports of peer evaluation of the candidate's teaching and summarizing them
- Creating the **Summary** Statement of Professional ~~Activities~~ **Achievements**
- Evaluating the candidate according to the Department Promotion Criteria

External Evaluators

The Review Committee shall solicit letters of evaluation from at least six widely recognized authorities in the field, chosen from a list that shall include individuals nominated by the candidate. Among the letters requested, at least three and at most one-half must be from persons nominated by the candidate (APT Policy Section IV.A.2~~, page 66~~). The Chair of the Department APT Review Committee should receive suggestions of potential external evaluators from the candidate. The Committee should select evaluators from the candidate's list and must also choose evaluators from their own list. If the candidate has a joint appointment, the ~~s~~**S**econdary ~~d~~**D**epartment or ~~u~~**U**nit must be consulted on the choice of external evaluators**, which is also recommended for faculty who have agreements for modified unit criteria**. ~~See~~ **~~Information~~**

~~about~~ Considerations for Interdisciplinary, Non-Traditional, or Emerging Scholarship and Joint Appointments~~, page 17~~.

*APT Review Committees at all levels question the credibility of letters from the candidate's mentors and collaborators, and heed closely the comments of evaluators from highly ranked institutions and, where appropriate, evaluators holding the rank of professor. The committee will also heed closely the comments of evaluators who are documented as among the outstanding leaders in the field. It is suggested that, at a minimum, six of the letters be selected from evaluators who are not the candidate's mentors and collaborators. Up to two additional letters (for a total of at least eight) may be from a mentor or collaborator as long as sufficient explanation is provided by the Chair of the APT Review Committee and/or Department Chair. An allowable exception is the case where an appropriately small number of the six letter writers have had a one-time or temporally distant collaboration. **In some circumstances, a greater proportion of letters from collaborators* may be needed in order to provide a complete, equitable, and thorough evaluation of the contributions of the candidate. Such letters may be allowed if justification is provided by the Unit undertaking the evaluation (e.g., in cases of very large collaborations where coauthors number in the hundreds). It is recommended that the list of external evaluators and their credentials, as well as justification for including a greater proportion of collaborators be vetted by the Dean's office prior to solicitation of letters, in order to identify possible inadequacies in the overall list.** The most reliable way to get external evaluators to engage in a review is for the Committee to solicit letters well in advance of their deadline.* **Initial contact shall be made via email to establish whether the evaluator is available to provide a letter within the required time frame. The email should include an explicit deadline for reply in order to determine the need for contacting additional evaluators. The goal is to establish a consistent protocol for initiating contact and to minimize the receipt of uninformed comments prior to an external evaluator's assessment of the candidate's complete portfolio. Once the evaluator has agreed, a formal packet of materials should be distributed. A reminder email shall be sent within one week of the deadline if the letter is still outstanding at that time. Example text of such emails is provided in the appendix; all such correspondence shall be recorded in the letter log.**

* Collaborators are here defined as a coauthor on any peer-reviewed work, the candidate's advisor or advisee, or candidate's mentor. The following persons would not be considered collaborators: an editor of a volume in which the candidate has a chapter, or vice versa; persons who have served on the same committee, taskforce, or council for professional or other organizations; co-organizer of a workshop; member of a former ~~d~~Department of the candidate with whom there were no co-authored projects or committee memberships.

The Committee must include a list of all the evaluators to whom a formal request was sent, even if the evaluators do not reply or decline to write. Copies of the letters (or emails) of refusal must be included in the dossier. Verbal communications will not be accepted, and any prejudicial discussion regarding declines or non-answers is discouraged. In the log, the initial date that the evaluator was contacted should be included, when candidate materials were sent (if different from initial) and the date of response (either when the evaluation was received or the reviewer declined to review). A template for the letter log is available on the Faculty Affairs website (copied in Appendix A) providing the appropriate format. Because all APT review committees should have access to the

same external letters, late arriving letters should not be included in the dossier, nor be used for evaluative purposes during deliberations. Unsolicited letters **are not included** ~~do not belong~~ in the dossier and should not be relied on for evaluative purposes during deliberations.

The letter log should indicate which evaluators are collaborators with, or mentors of, the candidate. A justification of their inclusion should be provided in the credentials document. Once the list of external evaluators is finalized, ~~summarize~~ their credentials **should be summarized** with a paragraph for each evaluator. ~~Do not include~~ CVs of the evaluators **should not be included**. It is helpful if the order of the credentials paragraphs mirrors the order of letters in the dossier. *It is important for the Department APT Review Committee to justify the choices of evaluators and to indicate the type and quality of the institution or program with which the evaluator is associated.*

An excessive number of letters (e.g., 10 or more) should be avoided. Should an insufficient number of letters be received in a timely fashion, the case may still go forward. However, Units should be aware that the absence of the requisite number of letters weakens the case for the candidate. Although the contents of the letters are to be shared with eligible voters at each level of review, these letters are highly confidential and must not be shared with the candidate or others who will not be voting on or evaluating the candidate for promotion. Candidates may not contact evaluators to determine their willingness to provide information, or to enquire about the contents of the evaluation.

The following guidelines should be followed in presenting letters:

- All letters received in response to solicitation must be included in their entirety if the letters arrive in time for consideration by the Department APT Review Committee.
- Letters in a foreign language must be accompanied by an English translation.
- Each letter should clearly indicate whether the evaluator was **nominated** ~~selected~~ by the candidate, or by the committee.
- Dossier preparation and evaluation is facilitated if letters from external evaluators are sent as searchable electronic attachments.

Committees and candidates should take into account the following issues in selecting their evaluators.

- *An evaluator who is the candidate's dissertation advisor, former teacher, co-author, or student should be avoided, unless special circumstances are explained by administrators.*
- *When a candidate is re-reviewed, as in the case of someone coming up for Professor shortly after being reviewed for promotion to Associate Professor, new evaluators should be chosen unless there are strong justifications for repeated selection.*
- ~~*Evaluators should ordinarily hold the rank of Professor or its equivalent.*~~
- *~~If evaluators are asked whether the candidate would be promoted at their institutions, t~~ **T**he prestige of the evaluators' institutional affiliations and their accomplishments should be taken into account in selecting them. Evaluators should ordinarily hold the rank of Professor or its equivalent **at peer institutions. However, evaluations from recognized experts in the field should always be sought, regardless of institutional affiliation. Some examples may include those outside the academy, scholars in emerging fields, or experts who have not yet achieved the rank of Professor. In these cases, the rationale for choosing**

these evaluators shall be provided by the Unit's APT Review Committee in the external evaluator credentials section of the dossier.

Candidates should be informed of the University's perspective on appropriate evaluators and the right of the Department to select from the candidate's nominations those that the APT Review Committee deems appropriate. Candidates should also be informed about University rules of confidentiality.

Sample Letter to External Evaluators

(See Appendix B, page 59) *The letter used to solicit external evaluations is usually sent by the Chair of the Department APT Review Committee, or from the cChairs of both committees if the candidate has a joint appointment. The letter should be neutral, asking for an honest evaluation rather than for support for the faculty member's candidate's promotion. It should ask if the reviewer is a co-author or collaborator. The letter should ask the evaluator to comment on:*

- *the nature of the evaluator's professional interactions with the candidate;*
- *the candidate's ranking among his or her professional peers (or cohort);*
- *the candidate's chances qualifications for promotion here and, where appropriate, tenure in the evaluator's own institution based on the Unit's promotion criteria, noting expressly that information on this point is an important consideration;*
- *the impact of the candidate's work on the field;*
- *clarification of the candidate's collaboration with other scholars in his/her field;*
- *the quality of the candidate's teaching, if known.*

(Departments may use the text provided in the Appendix as a template; specific items for evaluation may be added, when appropriate.) *Departments have the option of sending teaching dossiers portfolios including syllabi, examinations and other instructional material to external reviewers for their evaluation. Reviewers may be asked to comment on the scope and currency of the instructional materials and their appropriateness to the discipline and to the level of the course. Attachments to the letter should include the criteria for promotion, any agreement of modified unit criteria for promotion and/or tenure, the candidate's CV and Personal Statement and a list of scholarly and teaching materials being sent, or made available, to the evaluator. The attachments should be listed within the sample letter.*

Reputation of Publication Outlets

The Department should provide an appraisal of the reputations of the journals, presses and other outlets (e.g., theaters, exhibits, etc.) for the candidate's scholarship/creative activity. Indicate whether peer review is required for each publication outlet. Departments should develop a standard, stable, credible method of rating journals and should present these ratings and, when possible, the rate of acceptance to the journal or other medium. In addition, citation counts should be included. Departments may also put these in the Summary Statement of Professional Activity, so candidates can verify the counts.

Peer Evaluation of the Candidate's Teaching

Departments ~~should~~ **must** engage in systematic **and periodic** peer review of teaching based on classroom visits by **tenured faculty** colleagues. **Beyond this requirement, peer evaluation could also include evaluation of the candidate's mentoring and advising. Documentation of the candidate's teaching record should begin during the first year of the candidate's initial appointment and should include the outcomes of periodic peer evaluations as well as any response from the candidate to those evaluations, which could be included in the candidate's personal statement or teaching portfolio. Peer evaluation should proceed according to a rubric established at the unit level that is common to all candidates for promotion and to all evaluators.** *Peer evaluation should include evaluation of course syllabi, examinations, and other instructional material by members of the Department or external evaluators, and discussions of curriculum development, introduction of innovative uses of technology, special contributions to the teaching mission of the ~~d~~Departmen*t *or to special programs, and teaching awards received by the candidate. Reports provided only months ahead of the APT review (as opposed to those based on systematic visitation) tend not to be given much credence by higher levels of review.*

Departments ~~may~~ **must** require a teaching portfolio **from the candidate, as described in the Teaching Portfolio section of Information for the Candidate**. ~~These~~ **This** portfolio~~s~~ should be uploaded to the ~~supplemental materials area of the~~ APT website. *~~Reports provided only months ahead of the APT review (as opposed to those based on systematic visitation) tend not to be given much credence by higher levels of review.~~*

Summary **Statement of Professional ~~Activities~~ Achievements**

This summary report is often written by an Advisory Subcommittee (formerly called Initial Review Committee, or IRC)—whose members should be identified—or its representative. The purpose of the summary is to ensure that committees have correct and complete information about the candidate on which to base their evaluation. It is a factual statement of the candidate's accomplishments in: research, scholarship, or creative activity; teaching, mentoring, and advising; and service. **If a tenure delay has been granted, insert the following language: "Dr. XXX has received an extension of the tenure clock per University of Maryland policy, which states that faculty members shall not be disadvantaged in promotion and tenure proceedings because they have elected to extend the time for tenure review in accordance with this policy."** The ~~s~~Summary ~~s~~**Statement of Professional Achievements** is not to be sent to external reviewers. **It should place the candidate's accomplishments in research, scholarship, extension activities and/or artistic performance in the context of the discipline, and the candidate's professional achievements in service and teaching in the context of the responsibilities of the Department, the College, the University and the community. In addition, citation counts should be included. Entrepreneurial efforts leading to technology transfer and public engagement activities also may be considered in these contexts. A summary of the peer evaluation of teaching reports should also be included. It should be a neutral description; no evaluation of the candidate's work should be included.**

Candidate Review of Non-Evaluative Materials

The candidate must be shown the Summary Statement, Reputation of Outlets, Student Evaluations and Peer Reviews of Teaching, the Record of Mentoring/Advising/Research

Supervision, the Department's promotion criteria, any approved agreement of modified unit criteria relevant to the candidate, and the sample letter sent to external evaluators at least two weeks before the Department deliberates about the candidate's case. **In some cases, these elements all may be contained in the Summary Statement of Professional Achievements.** Candidates must certify in writing that they have seen the**se** document**(s)** (which may be achieved by signing the document**(s)**), and must be allowed to draft a **Response** ~~rejoinder~~ **if he/she deem it appropriate** before ~~it is~~ **the documents are** used by the Department APT Review Committee as a basis for ~~its~~ discussion and vote. The date**(s)** on ~~this report~~ **these materials** (and any rebuttal by the candidate) must <u>predate the meeting on which the case is decided</u>. If there is a ~~rejoinder~~ **Response**, the **s**~~S~~ummary **Statement of Professional Achievements** must acknowledge **the existence** ~~receipt and consideration~~ of the ~~rejoinder~~ **Response** (APT Policy Section IV.A.6~~, page 67~~). *To facilitate production and "certification" of the report, Departments should inform candidates in advance of deadlines for reviewing the Summary Statement, **Reputation of Outlets, Student Evaluations and Peer Reviews of Teaching, and the Record of Mentoring, Advising/Research Supervision** and for return of the signed ~~Statement~~ **document(s)** with any rejoinder.*

Report of the Department APT **Review** Committee

(APT Policy Section IV.A.7~~, page 68~~) This report has two clearly separate parts, neither of which is shown to the candidate. In addition, the Department APT Review Committee may include an optional Minority Report in cases of major disagreement. All parts of the report are incorporated into the dossier sent by the Chair to higher levels of review.

The first part is the Department APT Review Committee Meeting Report, describing the decision meeting. This report is ordinarily written by the ~~c~~**C**hair **of the APT Review Committee or a designee. The discussions and the exact vote should be presented, as well as any departmental rules about the number of votes required for a positive recommendation. The report should contain the meeting date and be signed by its author.**

The second part is the Evaluative Report. The Department may form an Advisory Subcommittee (formerly called Initial Review Committee, or IRC), whose members should be identified, to complete this part of the report (APT Policy Section IV.A.1~~, page 64~~). The ~~e~~**E**valuative ~~r~~**R**eport evaluates the candidate's research or creativity, service, mentoring and teaching contributions in light of the departmental standards. Some of the elements of the report will be based on data provided in greater detail in other sections of the dossier. In this instance, bear in mind that the purpose of this report is evaluative, and try to avoid repeating information.

It is helpful to address the following questions when preparing the Evaluative Report:

- *What are the standards and expectations of the Department or discipline with respect to the candidate, as expressed in departmental criteria, and how are they measured?*
- *What are the candidate's major contributions? Why are these contributions important in the candidate's field?*
- *Has the candidate met or surpassed the Department's standards and expectations?*
- *What evidence supports the Review Committee's evaluation?*

This information is particularly helpful in areas with distinctive expectations for promotion. It is crucial to consider the audience to whom this report will be addressed, which includes faculty and administrators outside the unit.

The following are suggestions for summarizing and evaluating faculty performance:

Research, Scholarly or Creative Activities

An evaluation of the quality and quantity of the work should be provided, including a description of the influence of the work in the field. The bases for the evaluation should be made explicit.

*Where the primary activities of the ~~faculty member~~ **candidate** consist of performance or practice, the Department should develop methods and procedures to obtain outside evaluation of the ~~faculty member~~ **candidate**. Submissions of published reviews of books and performances, samples of extension publications, etc.**,** are strongly recommended. For journal publications, where appropriate, the citation rates and other quantitative factors should be included. Similarly, for extension agents whose scholarship is directed toward producers or consumers, a thorough evaluation of the quality, quantity and impact of these publications is essential.*

*When a ~~faculty member~~ **candidate** works in collaborative teams, ascertaining his or her role in those teams is important.*

Teaching, Advising and Mentoring

*Dossiers should contain data from the campus-wide standardized course evaluations, normally for the last five years. An evaluation of the quality and quantity of the candidate's teaching, advising and mentoring should be provided. Detailed ~~data~~ analyses **of the data** and student comments should be included in the dossier in the Student Evaluation Data section. **If a particular instructor's teaching load for a period of time consisted principally of generally unpopular required courses, or if there was a particularly significant event in a given semester that may have influenced student opinion, such facts should be made known.***

***Evaluations of teaching will take into account the** ~~C~~candidate's ~~may facilitate the process of teaching evaluation by providing a~~ teaching portfolio. Judgments of teaching could include an assessment of: instructional materials, the rigor and scope of examinations, incorporation of instructional aids, etc. Also to be considered is the development of techniques or modes of instruction and the substantial revision of or development of courses. Feedback of colleagues and students include: 1) surveys of student opinions, 2) awards, 3) ~~colleagues' opinions if based on systematic class visitations~~ **peer evaluations of the candidate's teaching,** and 4) evidence of effective learning by the candidate's students, such as may be shown by student performance on learning outcome assessments.*

Demonstrations of effective mentoring/advising include: 1) number and caliber of students guided in research and their placement in academic positions, postdoctoral labs, graduate programs, etc.; 2) development of or participation in bridge or summer programs; 3) service

on awards and mentoring committees, or as an advisor for student groups or clubs, or as a mentor for other faculty; 4) organization of professional seminars for students on article or grant submission, etc.; 5) job placement in notable academic positions or professional practice.

Service

Service contributions should be evaluated, particularly in those areas where service is a major component of a faculty member's candidate's activities, such as extension appointments. The report should do more than list committees or activities; it should, to the extent possible, evaluate the performance of these activities. Evaluation may be sought from supervisors or clients in organizations for which the faculty member candidate has rendered service. Service awards help to document and evaluate service activities. Disciplinary service to editorial boards, national and international organizations, etc., is evidence of good citizenship and stature in the profession.

The Report of the Department APT Review Committee may also include a minority report. Members of the Department *APT Review* Committee who do not think that the APT Review Committee Report adequately represents their views may write a signed minority APT report that will become part of the dossier (APT Policy Section IV.A.7, page 68). A minority APT report is intended to be employed for major disagreements, not for presenting minor variations in wording.

Voting at the Department Level

Mandatory abstentions often arise whenever a faculty member could vote twice, e.g., at the College and Department levels. In these cases, **the faculty member is permitted to vote only at the lower level. If a faculty member is eligible to vote within two Departments (because both the candidate and the voter have similar joint appointments), the voting faculty member may only vote in his or her tenure home and must abstain from voting in the second unit (APT Policy Section III.D.4, page Error! Bookmark not defined.; Section IV.B.1, page 68; Section IV.C.1, page 69).** A mandatory abstention may arise for other reasons, such as when a faculty member is the candidate's partner.

As a general matter, voluntary abstentions are to be discouraged. Higher-level APT review committees depend on the reasoning and expertise of the lower level committees; voluntary abstentions result in an absence of crucial input on a candidate's dossier. Abstentions of 50% or more of the relevant faculty mean that the decision (negative or positive) does not represent a majority opinion, and could give rise to grounds for an appeal.

Only tenured faculty at or above the rank to which the candidate is to be promoted or appointed may vote on that candidate's case (APT Policy Section IV.A.1, page 64).

Secondary Unit: If the candidate holds a temporary appointment in a secondary unit, the cChair or dDirector of the secondary unit provides a written recommendation to the cChair of the primary unit. If a candidate has a permanent joint appointment in a secondary unit with eligible voters, the secondary unit records the votes of the secondary unit (if this is required by the secondary unit's plan of organization) and provides a written recommendation to the cChair of the primary unit.

INFORMATION ABOUT JOINT APPOINTMENTS

New joint appointments should include a copy of the memorandum of understanding (M.O.U.) between the two participating units. This M.O.U. should also be sent to the faculty member. Ordinarily, the memo specifies:

- the tenure home;
- division of responsibility for the line and, where appropriate, arrangements for allocation of DRIF money, lab and office space;
- rights and obligations of the secondary unit(s) and conditions under which line responsibility might be renegotiated (e.g., if units disagree about promotion and/or tenure); and arrangements for reviewing renewal of contract and promotion (if appropriate).

Review of newly hired joint appointments as well as promotions for candidates with joint appointments: In joint appointments, the tenure home department is referenced here as primary, usually the Department with the greatest fraction of the appointment line. It is the prerogative of the primary Department to grant tenure. However, because the rank held by an individual must be consistent across departments, the primary Department needs to consider advisory input from the secondary Department or Unit (e.g., an Institute) as part of the APT review. The following scenarios reflect three different kinds of joint appointment.

Appointment split between two independent tenure granting departments and schools

To be eligible to vote within the Department the faculty member:

- **must hold a tenured appointment in the University,**
- **must be at or above the rank to which the candidate seeks appointment or promotion,**
- **must hold a regular appointment in the unit (with a given percentage of time attached),**
- **may only vote in a single unit providing the plan of organization permits it, and at only one level of review,**
- **must vote at the Department level of review and in the tenure home, when there is the opportunity to vote more than once.[4] (APT Policy Section IV.A.1, page 64)**

> **STEP 1.** *At the inception of the review, the Chair (or Directors) of the primary and secondary Departments or units are encouraged to coordinate the timing of the review process to obtain timely input from the secondary department. They are also encouraged to draw up a mutual letter that solicits evaluation of the candidate. Ordinarily, this letter should be signed by both APT Chairs. The two units may wish to form a joint review committee consisting of members of both units, which then delivers the report to the respective units for a decision.*

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[4] Chairs and Deans cannot vote as faculty in their Departments. When there are fewer than three eligible voting faculty in a Unit, Deans may appoint faculty from related units as voting faculty, to ensure the APT Committee contains at least three persons. These faculty may not vote on the candidate more than once.

STEP 2. The secondary unit should conduct a complete review and make its recommendation before the case is considered by the primary unit. The secondary unit's recommendation is for promotion to a higher rank, not tenure, because the secondary unit is not the individual's tenure home. The APT report of the secondary unit's review committee and its votes, as well as the recommendation of the administrator in the secondary unit, should be forwarded to the primary unit for consideration in its APT process. Thus, the secondary unit's review becomes part of the promotion dossier.

STEP 3. The primary unit votes based on its own review and the material furnished by the secondary unit. If the recommendations of the two units disagree, the Chair of the primary unit's APT Review Committee should provide a written list of questions to the administrator of the secondary unit and the spokesperson for the secondary unit's APT Review Committee, and invite them to meet with the primary unit to discuss the case.

The primary unit incorporates its input (from faculty and unit administrator) into the dossier, to forward it to higher levels of review. The dossier moves on to the Dean.

STEP 4. The APT Review Committee for the College wherein the primary unit resides evaluates the entire Dossier that includes material from the primary and secondary units' reviews. This College APT Review Committee votes and writes a report, the Dean writes a letter, and the Dossier is submitted for evaluation by the Campus APT Review Committee. When disagreements arise between voting units, the Committee should inform and invite the APT Review Committee chairs and administrators to discuss the case.

Two Departments or Units meet to decide on external referees.

Letters are sent under joint signature of APT Review Committee Chairs;

A joint advisory subcommittee or separate advisory subcommittee may be appointed.

Secondary unit performs review.

Secondary unit APT Review Committee votes and writes a report;

Secondary unit administrator writes a letter;

Material is forwarded to Primary unit.

Primary unit completes review.

The APT Review Committee considers its own material and the material supplied by the Secondary unit committee;

Primary unit votes and writes a report;

Primary unit administrator writes a letter;

Primary College review.

Primary College evaluates Dossier containing Primary and Secondary Units' reviews;

College APT Review Committee votes and writes report;

Dean writes letter;

Material is submitted for evaluation by the Campus APT Review Committee.

Appointment split between tenure home and a "permanent" appointment in a secondary unit.

If a candidate holds a permanent appointment in a secondary unit that is neither a secondary department nor a non-departmentalized school, the director's recommendation will be informed by advice from the relevant (at rank) faculty in the unit. The format of the advice will be determined by the tenure granting unit's plan of organization. If the input is in the form of a vote, the vote may not include input from those eligible to vote on the candidate at the Department level elsewhere. The director's advisory letter should be available to faculty in the primary unit before they vote.

Appointment split between tenure home and a temporary appointment in a secondary unit.

The secondary unit Chair/ Director writes an evaluative letter to the primary unit Chair, which is available to the primary unit faculty before they vote. Faculty in the temporary unit do not vote.

THE DEPARTMENT APT REVIEW COMMITTEE'S RESPONSIBILITIES:

- Gathering information and documents from the candidate.
- **Drafting the Summary Statement of Professional Achievements and presenting it to the candidate for approval two weeks prior to the time it will be distributed to the faculty and ensuring its prompt return. (APT Policy Section IV.A.6, page 67)**
- **Requesting at least six external evaluations (with at least three names selected from the candidate's list), using the candidate's input to select gather the sample of material for evaluators to evaluate, and providing a brief summary of the qualifications of the evaluators (APT Policy Section IV.A.2, page 66).**

- Obtaining documentation on teaching, **including peer reviews, student evaluations,** and **information on the candidate's** mentorship **record** ~~from students and colleagues~~.
- Obtaining available ~~documentation~~ **information** on **the candidate's** service **record**.
- Evaluating journals and other outlets in which candidate's scholarship is disseminated.
- **Carefully reviewing and evaluating the candidate's accomplishments in teaching, scholarship and service (APT Policy Section IV~~, page 62~~),** based on the candidate's CV, personal statements, external letters, scholarly and teaching materials and internal reports.
- **Meeting to discuss and vote on the candidate's case for tenure and/or promotion (APT Policy IV.A.1~~, page 64~~).**
- **The APT Review Committee Chair has the responsibility of ensuring that discussion and evaluation of the candidate is impartial, fair, and unbiased.**
- **Writing reports on: (a) the decision meeting including a record of the vote, the Committee's recommendation and its justification, and the date of the meeting; and (b) a separate evaluation of the candidate's accomplishments and potential for future contributions (APT Policy Section IV.A.7~~, page 68~~).** *This latter report is often prepared by an advisory committee and is available to faculty at or prior to the voting meeting.*
- **Reviewing the Chair's summary notification letter to the candidate for accuracy (APT Policy Section IV.D~~, page 71~~).** *(Usually done by APT Review Committee Chair)*
- **Representing the Department APT Review Committee's perspective to higher levels of review, if the need emerges (APT Policy Section IV.B.4~~, page 69~~).**

DEPARTMENT CHAIR

Preparation for tenure and promotion review begins when the candidate enters the University. The APT Policy calls for **the administrator of the academic unit that will become the ~~faculty member's~~ candidate's tenure home to (a) meet with the candidate and provide a written copy of the ~~approved promotion guidelines~~ current APT Manual and promotion criteria by which the candidate will be evaluated (APT Policy Section II~~, page 55~~; Section IV~~, page 62~~) and (b) appoint one or more senior faculty mentors. (APT Policy Section IV.A.3~~, page 66~~; ~~see also the Senate Task Force Report available at http://www.faculty.umd.edu/faculty/mnt_ndx.html)~~ The ~~c~~Chair should give a copy of the Guide for Mentors and Mentees (available at http://www.faculty.umd.edu/faculty/mnt_ndx.html) to each mentor and mentee, which outlines expectations for each party. It is suggested that the mentors be mutually agreed upon between the ~~c~~Chair and the candidate.** The list of new tenure-track faculty and their mentors is <u>due in the Office of the Associate Provost by February 1.</u>

Mentoring Assistant and Associate Professors is key to maintaining excellence at the University and is essential to the APT process. Mentoring for tenure-track faculty should be done systematically with annual formal meetings, at least until the tenure review is completed, with supportive and constructive feedback given to the candidate. The ~~c~~Chair also should meet at least annually with each tenure-track candidate; the ~~c~~Chair should also oversee the unit's mentoring process to ensure its effectiveness. In addition, the ~~c~~Chair should discuss options for multiple mentors who can provide guidance on different areas of responsibility and for issues related to any particular challenges the candidate may face. Mentoring should not end after an award of tenure, but should be continued if desired by the

faculty member, on an ongoing basis to support the professional development of the faculty member. Each unit will offer mentoring by one or more members of the senior faculty to each Associate Professor. The administrator is responsible for filing the unit's mentoring plan with the Office of the Associate Provost for Faculty Affairs; an example of such a plan is provided in the Appendices.

The review for tenure and promotion is the University's primary means for ensuring a productive and accomplished faculty befitting an outstanding research university. ~~Faculty members~~ **Candidates are expected to demonstrate accomplishment in three areas: (1) research, scholarship, or creative activity; (2) teaching, advising, and mentoring; and (3) service (APT Policy Section II~~, page 55~~; Section IV~~, page 62~~).** Colleges and Departments must have written explicit evaluative criteria covering these areas. These criteria must be included in requests for external evaluations and in the dossier after the letter written by the Department Chair. Upper-level APT review committees and administrators rely on the criteria to assess fitness for appointment or promotion equitably. <u>Reviewers at all levels must keep these criteria in mind as they review individual cases.</u>

Peer Evaluation of Teaching

~~In the Unit's implementation of peer teaching evaluation, it~~ **It** is the Chair's responsibility to ~~assign other faculty to observe a candidate's classes~~ **ensure implementation of the unit's plan for peer evaluation of teaching for every candidate**. It is recommended that peer evaluations of the candidate's teaching be conducted ~~at least once annually~~ **periodically by tenured faculty members (it is advisable to conduct these reviews annually)**. **Peer evaluation should proceed according to a rubric established at the unit level that is common to all candidates for promotion and to all evaluators. These periodic reports should be made available to the candidate, and any response by candidates should be filed in the Chair's office for inclusion in the APT dossier.** Evaluations done only in the months preceding review tend not to be given much credence by higher levels in the review process.

Chair's Letter

The letter should contain the Chair's independent evaluation of the candidate's teaching, scholarship, mentoring, and service, and should make a clear recommendation supported by the reasons for it (APT Policy Section IV.A.1~~, page 64~~*). An explanation should be provided for negative votes and voluntary abstentions. For joint appointments, the head of the secondary unit should also provide a letter that is inserted immediately following the Department Chair's letter.*

*The Chair's letter is most useful when it places the performance of the candidate in the context of the Department or discipline, and it comments on the APT Review Committee's report. It is particularly useful for informing the Committee about <u>the criteria used to evaluate the candidate and the Chair's assessment of the candidate with respect to those criteria.</u> These criteria**, and any approved agreement of modified unit criteria relevant to the candidate,** should be appended to the Chair's letter. While the letter may summarize the basic information about the case, APT Review Committees expect the Chair's interpretation of the information about the candidate: an honest and balanced assessment of the candidate's scholarship or creativity, teaching, mentoring and service, and a clearly stated recommendation. If this recommendation differs from that of a Department APT Review Committee, it is crucial to provide reasons. The Chair should also attempt to explain reasons for*

negative faculty votes and abstentions when they are known. If the candidate filed an objection to an external evaluator who was subsequently chosen by the unit, the Chair's Letter should note this objection.

Denial at the Department Review

If both the Department APT Review Committee's and the Chair's recommendation are negative, the Chair must inform the candidate by letter sent by **certified mail within two weeks of the date of the decision** by the Chair. **The letter should state the faculty decision and the administrator's decision and summarize briefly in general terms the reason for the denial. This letter should include the APT vote (APT Policy IV.D**, page 71**; see Appendix** B, page 43, **for examples).**

The Department forwards the case only to the Dean. The Dean will review the case to ensure that the candidate has received procedural and substantive due process. If not, the Dean will remand the case to the Department to reconsider. If no error has occurred, the d**Dean must write a letter** to the candidate, copying the unit head, **(a) stating that the case has been reviewed to ascertain that there was no violation of substantive or procedural due process, and (b) where appropriate, specifying the date of termination of employment (APT Policy Section IV.A.5**, page 67**).** The letter must be sent by certified mail. This concludes the review process of the case. The Office of Faculty Affairs is available for consultation or advice in matters pertaining to this process. For examples of possible wording for notification letters, see Appendix B, page 43.

A copy of these letters and the dossier should be sent to the Associate Provost for Faculty Affairs. The Dean should retain the dossier in case there is an appeal.

THE CHAIR'S RESPONSIBILITIES

- Ensuring that the APT decision meeting is properly conducted, **that discussion and evaluation of the candidate is impartial, fair, and unbiased**, and that the appropriate material is available to eligible voting faculty.
- **Writing a letter to the administrator at the next higher level making an independent judgment about each promotion and/or tenure case, and including the Department's promotion criteria (APT Policy Section IV.A.8**, page 68**).**

- **Notifying candidates in writing, summarizing the Chair's and Department APT Review Committee's decisions and reasoning,** and the numeric vote **within two weeks of the** Committee's decision meeting Chair's decision **(APT Policy Section IV.D**, page 71**; See example in** Appendix A, page 39**).** **In cases of new appointments, inclusion of the vote count is not required. A copy of this summary letter should be available for faculty who participated in the deliberations who wish to see it, and it should be included in the dossier. The Chair of the Department APT Review Committee may review and, if necessary, correct the information in the summary letter. In the event that the Chair of the Department APT Review Committee and the Chair are unable to agree on the appropriate language and contents of the summary letter, each shall write a summary letter to the candidate. A copy of all materials provided to the**

candidate shall be added to the tenure or promotion file as the case proceeds through higher levels of review. If both the Department APT Review Committee and Chair vote to deny tenure and/or promotion, the letter must be sent by certified mail (APT Policy Section IV.F.6~~, page 73~~).

- Inspecting dossiers for accuracy, completeness and conformity to these guidelines.
- For new appointments, including the length of appointment year, start date, and projected salary in a separate memo (see Appendix ~~A, page 38~~) accompanying the appointment request. If the appointment is accepted, notifying the Office of Faculty Affairs.
- **Sending the dossier to the next level of review, and if the candidate does not pass the initial review, providing sufficient information for the administrator at that level (Dean or Provost) to determine that the review was conducted appropriately (APT Policy IV.A.5~~, page 67~~).**
- **Answering questions putatively posed by upper-level review committees (APT Policy Section IV.B.4, ~~page 69~~; Section IV.C.2~~, page 70~~).**
- **If candidates withdraw from the process, forwarding a copy of the letter of withdrawal to the Dean and the Associate Provost for Faculty Affairs (APT Policy Section IV.A.5~~, page 67~~).**
- Reviewing the Department's Plan of Organization to ensure it contains sufficient procedural guidelines for the conduct of reviews, and that the review conforms to the guidelines.
- Being aware of changes in the APT Policy and Guidelines, and disseminating these changes to the faculty. The Office of Faculty Affairs web page should be consulted for updates: www.faculty.umd.edu/policies.
- **The ~~c~~Chair should give a copy of the Guide for Mentors and Mentees (available at http://www.faculty.umd.edu/faculty/mnt_ndx.html) to each mentor and mentee, which outlines expectations for each party.**
- **Meeting with new tenured and tenure-track faculty to provide APT information, such as Department and University policies, this Manual, and Department promotion criteria. Subsequently, administrators should notify faculty in writing of changes to the criteria (APT Policy Section II~~, page 55~~; Section IV~~, page 62~~).**

COLLEGE APT REVIEW COMMITTEE MEMBERS

The College APT Review Committee report must include the date of the meeting and the names of Committee members. **The report should include a statement of the exact vote and the reasons for the recommendation (APT Policy Section IV.B.5~~, page 69~~).** It should address the same areas as the Department APT report described above ~~(see page 14)~~. *When the vote is not unanimous, the report should explain the reasons for the negative votes or the abstentions. If the assessment differs from the ~~d~~Department vote, an explanation should be provided. Minority reports are permissible.*

THE COLLEGE APT REVIEW COMMITTEE'S RESPONSIBILITIES

- Carefully reviewing and evaluating the candidate's accomplishments in teaching, scholarship, mentoring, and service.
- Meeting to discuss and vote on the candidate's case for tenure and/or promotion.

- **The College APT Review Committee Chair has the responsibility of ensuring that discussion and evaluation of the candidate is impartial, fair, and unbiased.**
- **Meeting with lower level APT representatives when there is a possibility that a negative recommendation will be made. Questions in writing should be provided in advance (APT Policy Section Section IV.B.4, page 69; Section IV.C.2, page 70).**
- **Writing a report with an evaluation of the candidate's accomplishments and potential for future contributions, a record of the vote, the Committee's recommendation and its justification, the membership of the Committee, and the date of the decision meeting (APT Policy Section IV.B.5, page 69; Section IV.C.3, page 71).**
- For the College Review Committee, when either the Dean or the Committee makes a negative recommendation, ensuring that the Dean's summary letter notifying the candidate of the negative recommendation accurately reflects Committee deliberations.

D E A N

Dean's Letter

This letter should state the Dean's personal assessment of the reasons the candidate merits or does not merit promotion (APT Policy Section IV.B.5, page 69).

The letter should start with a specific description of the candidate's area of expertise. It should contain an honest and balanced assessment of the candidate's scholarship or creativity, teaching, mentoring and service, and a clearly stated recommendation. If this recommendation differs from that of the Department APT Review Committee, College APT Review Committee, or the Department Chair, the reasons underlying the dissent must be explained. Negative votes or abstentions at the College level must be explained. The Dean can provide a context for evaluating the candidate through characterizing the strengths of the Department, its role in the College and the role of the candidate in enhancing the excellence of the dDepartment. The letter should also discuss the expectations of the College and Department for promotion.

Dean's Notification to Candidate

When either the College APT Review Committee or the Dean make a negative recommendation, the Dean must: **(1) write a brief letter to the candidate summarizing the nature of the considerations on which the negative decision was based, (2) allow the Chair of the College APT Review Committee to review and, if necessary, correct the information in the summary letter, and (3) include this letter in the dossier directly following the Dean's letter (APT Policy Section IV.D, page 71)**. Members of the College APT Review Committee may see the Dean's letter. A summary is not necessary if both College-level recommendations are positive.

The Dean must notify candidates in writing, regardless of the outcome, summarizing the Dean's and the College APT Review Committee's decisions and reasoning, and the numeric vote within two weeks of the Dean's decision (APT Policy Section IV.D.). In cases of new appointments, inclusion of the vote count is not required. A copy of this summary letter should be available for faculty who participated in the deliberations who wish to see it, and it should be included in the dossier. The Chair of the College APT Review Committee may review and, if necessary, correct the information in the summary letter. In the event that the

Chair of the College APT Review Committee and the Dean are unable to agree on the appropriate language and contents of the summary letter, each shall write a summary letter to the candidate. A copy of all materials provided to the candidate shall be added to the tenure or promotion file as the case proceeds through higher levels of review.

THE DEAN'S RESPONSIBILITIES

- Reviewing the College's Plan of Organization to ensure it contains sufficient procedural guidelines for the appointment of a College Review Committee and the role of the Dean with respect to the Committee.
- Ensuring that the review conforms to those guidelines.
- Reviewing and approving College and Department promotion criteria.
- **Recommending appointees to the Campus APT and Campus Appeals Committee (APT Policy Section IV.C.1~~, page 69~~; Section V.A.1~~, page 75~~).**
- Informing Chairs of changes in the APT Policy and Guidelines, and discussing with Chairs their evaluation of the preceding year's APT process and outcomes.
- Preparing a schedule for submission of dossiers to the Departments in the College, and informing them of that schedule in a timely manner.
- **When candidates are denied tenure and/or promotion at a lower level of review, certifying the procedural and substantive appropriateness of the review, and writing a letter sent by certified mail to the candidate within two weeks of the decision that informs the candidate of the outcome, ~~the procedural~~ appropriateness of the review, and the consequences of this denial (APT Policy Section IV.A.5~~, page 67~~).** Copies should be sent to the Chair and Associate Provost for Faculty Affairs. The correspondence and the dossier should be retained.
- **Appointing members of the College APT Review Committee in accordance with its Plan of Organization (APT Policy Section IV.B.1~~, page 68~~).**
- Providing staffing for the College APT Review Committee and ensuring that the APT decision meeting is properly conducted, **and that discussion and evaluation of the candidate is impartial, fair, and unbiased**.
- **Reviewing recommendations of the prior level of review and the College APT Review Committee, and writing a letter to the Provost making an independent judgment about each promotion and/or tenure case (APT Policy Section IV.B.3~~, page 69~~; Section IV.B.5~~, page 69~~).**
- **~~When either the Dean or the College APT Review Committee make(s) a negative APT decision, w~~ Writing a brief summary letter informing the candidate, the Department Chair, and Chair of the Department APT Review Committee summarizing the outcome of the College APT Review Committee's and Dean's deliberations, and the rationale behind it. ~~(APT Policy Section IV.D, Page 71; see Table 6, page)~~ This summary letter should be available to members of the College APT Review Committee who can decide to amend it, and the letter should be included in the dossier (APT Policy Section IV.D~~, Page 71; also see Table on Candidate Notification in Appendix~~).**
- Inspecting the dossier for accuracy, completeness and conformity to these guidelines.
- Forwarding an electronic file to the Associate Provost for Faculty Affairs.

- **Meeting with the University APT Review Committee to address questions they may raise (APT Policy Section IV.C.2~~, Page 70~~).**
- For new appointments, including <u>in a separate memo</u> accompanying the dossiers, the terms of appointment, start date and projected salary in appointment requests (See Appendix ~~A, page 55~~). If the appointment is accepted by the candidate, notifying the Office of Faculty Affairs.

NEW APPOINTMENTS OF ~~ASSOCIATE AND FULL PROFESSORS, SENIOR AGENTS AND PRINCIPAL AGENTS~~ PROFESSORS OF THE PRACTICE, EMERITI FACULTY, COLLEGE PARK PROFESSORS, AND UNIVERSITY OF MARYLAND PROFESSORS

~~New faculty appointments to the ranks of Professor and Principal Agent carry tenure and must be reviewed under the University APT process. New faculty appointments to the ranks of Associate Professor and Senior Agent may be with or without tenure. New appointments to the ranks of Associate Professor and Senior Agent with tenure require review under the University APT process. New appointments to these ranks without tenure may proceed for review and approval by the President based on a recommendation from the Provost, unless questions arise, in which case the President may direct that the proposed appointment undergo an unofficial "tenurability" review by University APT committees prior to presidential consideration. No offer of appointment to the rank of Associate Professor, Professor, Senior Agent or Principal Agent (regardless of tenure status) is valid in the absence of presidential approval. New faculty appointments to the rank of Assistant Professor and Agent are not handled under the University APT process.~~

~~New appointments may be submitted at any time. All requests for new appointments must be accompanied by a separate memo that provides the information in Appendix A, page 55, that is required for presidential approval of the appointment.~~

~~Dossiers for new appointments differ slightly from dossiers of candidates being promoted from within. They lack a Summary of Personal Achievements and Personal Statement. They should, however, contain as much information as possible on the candidate's performance or potential performance as a teacher, mentor and advisor, as well as on the candidate's scholarship. External letters of evaluation should be solicited from reviewers suggested by the candidate and from reviewers suggested by the Department. For tenure cases, it is essential that the question of tenure be addressed, both in the APT reports and in external letters. Letters soliciting recommendations for a new tenured appointment should pose the question of whether the candidate merits tenure.~~

~~As there is generally no campus level committee review for a new appointment to Associate Professor or Senior Agent without tenure, this type of dossier includes only letters from the dean, the department chair, and external evaluators, along with the candidate's CV and other supporting documents, if they exist. Based on these documents, the Provost will make a recommendation to the President regarding the appointment.~~

PROFESSOR OF THE PRACTICE

(SEE APT POLICY SECTION I.F.9~~, PAGE 53~~) APPOINTMENT: The material needed for Professor of the Practice is the same as for any new appointment, except that teaching evaluations may not be available. Letters from the Chair and Dean must address the professional credentials of the candidate and the candidate's role in fulfilling the mission of the Department. Appointments may be for as long as 5 years and contracts are renewable (see below).

The approval route starts with review by the Department APT Review Committee including input from the Chair, and then requires evaluations by the Dean (but not the College APT Review Committee), a committee composed of five Associate Provosts representing the Graduate School, Undergraduate Studies, Academic Planning and Programs, Academic Affairs and Faculty Affairs, and then the Provost and the President.

REAPPOINTMENT: Requires presidential approval based on letters of endorsement from the Chair, Dean and committee of the five Associate Provosts in the preceding paragraph. No ~~d~~**D**epartment vote or solicitation of outside letters is required. These recommendations and supporting material, such as CV and teaching evaluations, should be forwarded (in abbreviated dossier format with material assembled in the order listed in **the** ~~T~~**t**able **in the Appendix** ~~4, page 41~~) through the Associate Provost for Faculty Affairs for approval by the Provost and President. As with other contracts, the renewal review should be conducted in the year before the year the contract expires.

EMERITA/EMERITUS STATUS

(SEE APT POLICY SECTION I.F.7~~, PAGE 53~~) Associate/Full Professors and Principal/Senior Agents who have been faculty members for ten years are eligible for nomination to Emerita/Emeritus status. Recommendations for Emerita/Emeritus status will only be considered after the faculty member has submitted a letter of resignation and retirement or an approved retirement agreement, plus a memo from the Benefits Office confirming that the faculty member has met with them. (Refer to http://www.faculty.umd.edu/faculty/retire.html for more information.) **The review is ordinarily conducted during the candidate's last semester of employment (APT Policy Section IV.G.3~~, page 74~~). Faculty at or above the candidate's pre-retirement rank are entitled to vote on Emerita/ Emeritus status (APT Policy Section IV.G.4~~, page 74~~).** Candidates for Emerita/Emeritus status are not reviewed by faculty committees beyond the Department APT Review Committee. **Reviews beyond the Department are conducted by the Dean, Provost, and President (APT Policy Section IV.G.8~~, page 74~~).** Materials submitted for emeriti appointments should include a copy of the ~~above referenced documents~~ **documentation of retirement and other materials mentioned in table in the Appendix.** ~~(See Table 4, page 41~~).

Dossiers for Emerita/Emeritus candidates may be submitted at any time, and the date on which Emerita/Emeritus status is to become effective must be specified.

COLLEGE PARK PROFESSOR

(SEE APT POLICY, SECTION I.F.10~~, PAGE 54~~) This title is conferred on nationally distinguished scholars, creative or performing artists or researchers who would normally qualify for appointment as a ~~p~~**P**rofessor within the University, but who typically hold full time positions elsewhere. Initial appointment (for a period of three years) must follow the procedures for any appointment for new tenured professor (see above). ~~Annual appointment r~~**R**enewal **of an appointment for an additional three (3) years** is based on recommendations by the Chair and Dean to the Provost in the form of brief evaluative communications, forwarded through the Office of Faculty Affairs.

UNIVERSITY OF MARYLAND PROFESSOR

(SEE APT POLICY, SECTION I.F.11, PAGE 54) This title may be used for nationally distinguished scholars, creative or performing artists, or researchers who have qualified for full-time appointments at the University of Maryland, Baltimore at the level of professor, who are active in **"**MPowering the State**"** programs, and who also qualify for full-time appointment at the University of Maryland, College Park at the level of professor. Holders of this title may provide graduate student supervision, serve as principal investigators, and participate in departmental and shared governance. Initial appointments are for three years and are renewable ~~annually~~ **for an additional three (3) years** upon recommendation to the Provost by the unit head and ~~d~~**D**ean. This is a non-paid, non-tenure track title but initial appointments must follow the procedures for appointment as a new tenured Professor.

Final Decisions, Concerns That Arise and Appeals

DENIAL AT THE DEPARTMENT REVIEW

If both the Department APT Review Committee's and the Chair's recommendation are negative, the Chair must inform the candidate by certified mail within two weeks of the date of the decision. The letter should state the faculty decision and the administrator's decision and summarize briefly in general terms the reason for the denial. This letter should include the APT vote (APT Policy IV.D~~, page 71~~; see Appendix ~~C, page 42,~~ for examples).

The Department forwards the case only to the Dean. The Dean will review the case to ensure that the candidate has received procedural and substantive due process. If not, the Dean will remand the case to the Department to reconsider. If no error has occurred, the ~~d~~Dean must write a letter (a) stating that the case has been reviewed to ascertain that there was no violation of substantive or procedural due process, and (b) where appropriate, specifying the date of termination of employment (APT Policy Section IV.A.5~~, page 67~~). The letter should be sent by certified mail. This concludes the review process of the case. The Office of Faculty Affairs is available for consultation or advice in matters pertaining to this process. For examples of possible wording for notification letters, see Appendix ~~C, page 42~~.

A copy of these letters and the dossier should be sent to the Associate Provost for Faculty Affairs. The Dean should retain the dossier in case there is an appeal.

MOVING THROUGH HIGHER LEVELS OF REVIEW

As long as there is one positive recommendation at the Department level (from either the APT Review Committee or the Chair) the case will proceed to all subsequent levels for review (APT Policy Section IV.A.5~~, page 67~~). That is, the case will proceed through the College and University faculty committees and administrator reviews.

During higher levels of review, questions may arise regarding a recommendation from a lower level of review. In such cases, the College or University APT Review Committee shall meet with the APT Review Committee Chair(s) and Administrator(s) from the lower levels. A written list of questions will be provided to the lower level representatives in advance to serve as a basis for discussion (APT Policy Section IV.B.4~~, page 69~~; Section IV.C.2~~, page 70~~).

Whenever either or both faculty and administrator recommendations are negative at higher levels of review, a letter must be sent to the candidate summarizing in general terms the nature of the considerations on which those decisions were based (APT Policy Section IV.D, ~~page 71~~). The College-level notification letter should be included in the dossier file appended to the Dean's letter and should be sent by certified mail.

AWARDING OR DENIAL OF TENURE AND/OR PROMOTION

Final authority for any appointment that confers tenure or promotion to Associate Professor, Professor, Senior Agent, or Principal Agent resides solely with the President (APT Policy Section IV.E~~, page 72~~). The President will inform the candidate of the final disposition

of the case **in writing**. **If the decision is negative, the President will inform the candidate by certified mail. Determination of the time limits for filing an appeal is based on the date of the candidate's receipt of the President's letter. (APT Policy Section IV.F.6~~, page 73~~).**

WHEN ISSUES ARISE DURING THE REVIEW PROCESS

Administrators and faculty committees are responsible for ensuring that all candidates receive fair and impartial treatment. They should deal with perceived problems either within their committee or through the administrative structure as soon as the issue arises. It is recommended that the Chair of the APT Review Committee inform the voting faculty about these responsibilities whenever cases are reviewed (University Senate Review of Appeals No. 99-00-13).

The faculty member who believes that a violation has occurred during the review process is responsible for objecting at that time and asking for a resolution of the problem. Individuals in that position must inform the Department Chair, the Dean, or the Associate Provost for Faculty Affairs of the perceived difficulty (University Senate Review of Appeals No. 99-00-13).

APPEALS PROCESS FOR DENIAL OF PROMOTION

Grounds for Appeals
The two bases for appeal are: violation of substantive due process or violation of procedural due process. Violation of substantive due process means that: (1) the decision was based upon an illegal or constitutionally impermissible consideration; e.g.~~,~~ upon the candidate's gender, race, age, nationality, handicap, sexual orientation, or on the candidate's exercise of protected First Amendment freedoms (e.g., freedom of speech); or (2) the decision was based on erroneous information or misinterpretation of information, or the decision was clearly inconsistent with the supporting materials (APT Policy Section V.B.1.b~~, page 76~~).

Violation of procedural due process arises when the decision was negatively influenced by a failure during the APT review: (1) to take a procedural step or (2) to fulfill a procedural requirement established in APT Policy or review procedures of a ~~d~~Department or ~~c~~College. Violations occurring prior to the review process are not a basis for an appeal (APT Policy Section V.B.1.b~~, page 76~~).

The Appeals Process
(SEE APT POLICY, SECTION ERROR! REFERENCE SOURCE NOT FOUND.~~, PAGE~~ ERROR! BOOKMARK NOT DEFINED.**) A request for an appeal must be made in writing to the President within 60 calendar days of notification of the decision not to grant tenure, promotion, reappointment, or emeriti status (APT Policy Section V.B.1.a~~, page 76~~).** The request must detail the basis for the appeal and evidence to support the claims. **The grounds for the appeal must be within the purview of those identified in the University APT Policy (APT Policy Section V.B.1.b~~, page 76~~).** Faculty members with questions regarding this process should contact the Office of Faculty Affairs. The President will determine whether to grant the request for an appeal based on the criteria stated above.

If an appeal request is granted, **an Appeals Committee is formed (APT Policy Section V.A~~, page 75~~).** The appellant has an additional 60 days in which to submit materials related to the case to the

Office of Faculty Affairs. **The appellant should be aware that these materials will be shared with the Appeals Committee, and with parties against whom allegations are made and any other persons deemed necessary by the Committee (APT Policy Section V.B.1.a~~, page 76~~).**

The Committee will meet with the Appellant, and other parties, and investigate the case, as it deems appropriate (APT Policy Section V.B.1.d.3~~, page 77~~). **If there were any objections to evaluators submitted by the appellant during the process of selection of external reviewers, this information may be requested.** The Committee may not substitute its academic judgment for the judgment of those in the review.

The Committee makes a recommendation to the President who makes the final decision (APT Policy Section V.B.1.d.4~~, page 77~~). When the President supports the ~~grounds for an appeal, the Provost has the responsibility for oversight of the implementation of the corrective action the president requires to be taken~~ findings of the APT Appeals Committee, and authorizes corrective action to be taken, the Provost has the responsibility for oversight and implementation of any such corrective action (APT Policy Section V.B.1.e.1~~, page 78~~).

Information for Staff

OVERVIEW

Staff members make an essential contribution to the promotion and tenure process through their careful preparation of the materials in a candidate's dossier. Often, the last person to see the dossier before the university level review is a staff member. Through the efforts of the staff, the dossiers are clearly laid out and easy to evaluate.

Inclusion of a teaching portfolio is required, and it should be submitted as a separate document from the main dossier. Representative pieces of scholarship may be submitted in addition to the dossier **and teaching portfolio**. ~~Inclusion of a teaching dossier is also optional.~~ These additions may be specified in the form of a URL (preferred for large documents) or they may be uploaded to the area on the APT website for supplemental materials. In unusual cases (e.g., for large, non-electronic pieces of scholarship) a hard copy may be forwarded as a supplement under separate cover. Colleges are responsible for returning all supplemental materials to candidates after the Campus APT Review Committee has finished its deliberations. Dossiers failing to conform to these guidelines will be returned to the College for corrective action before they are submitted for evaluation to the Campus APT Review Committee.

It is crucial for APT documents to be searchable. Non-searchable documents will be returned to the units where they originated.

GATHERING MATERIALS FOR THE DOSSIER

While dossier materials will vary according to the nature of the case, there are some elements that will be found in every dossier:
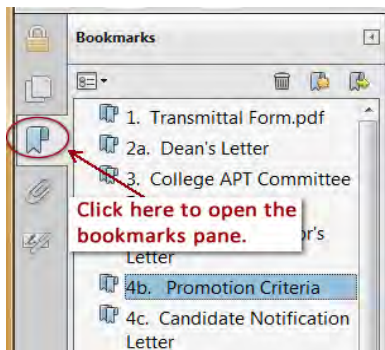
1. Transmittal Form. The transmittal form, besides providing the information used to record the candidate's new or changed appointment, serves as a summary of the first and second level meeting dates and votes, along with the evaluations of the ~~d~~**D**ean and ~~d~~**D**epartment ~~c~~**C**hair. The transmittal form has recently been revised as a PDF form, so you can open it from the Faculty Affairs website, enter the appropriate information, and then save it to your own computer for when you come back to add information to it. More information about completing the transmittal form is available in the Elements of the Dossier section below.
2. Promotion Criteria. The promotion criteria included must be that which was current when the candidate was appointed.
3. Letter Log. The letter log constitutes a summary of the requests for external evaluation. Letters from external evaluators make up an important part of the dossier, so the log must show clearly who has been contacted, when, and what their response was.
4. Reputation of Publication Outlets. Though this information is likely to be prepared by members of the Advisory Subcommittee, it should be presented in a clear and consistent fashion, which may well mean it becomes the responsibility of a staff member.
5. Citation counts or similar such metrics.

The electronic dossier must meet three essential criteria:

1. It must be bookmarked.
2. It must be password-protected.
3. It must be searchable.

Bookmarks

The bookmarks in the dossier form a table of contents for the included materials. The items which are to be bookmarked are listed at the bottom of the transmittal form, in the appropriate order. Note that the order has changed from recent years. Of course, not all of the listed materials will appear in every candidate's dossier. If an item is not present in the dossier, there is no need to create a bookmark for it.

To create a bookmark: navigate to the page you wish to bookmark. If the bookmarks pane is open, click the new bookmark button and enter the appropriate label. Labels need not match what's at the bottom of the transmittal form, though it is convenient if they do.
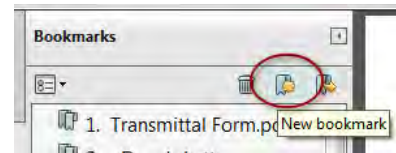
You can alter the text of the bookmark by right clicking the bookmark and choosing Rename from the menu. Another bookmark problem is that they sometimes go awry when pages are added or deleted. To edit the page a bookmark links to: right click the bookmark and then choose Properties. From the window that appears, choose the Actions tab, and then click in the Actions window to highlight "Go to a page in this document." Click the Edit button, and change the page number to whatever it should be.

Password Protection

The dossier must be password-protected to ensure the confidentiality of the materials within. The Faculty Affairs Office will let you know what the password should be at the beginning of each APT cycle. To add a password to the dossier, choose Properties from the File menu. Click on the Security tab, and choose "Password Security" from the dropdown Security Method list. You will then see the Password Security – Settings window. Check the box labeled "Require a password to open the document" and type the appropriate password in the "Document Open Password" field. Click OK, and then retype the password in the confirmation dialogue box that appears. Click OK to return to the Document Properties window.

Next, click the Initial View tab. Change the Navigation tab dropdown to "Bookmarks Panel and Page." Change the Magnification dropdown to "Fit Width." Finally, click OK. This sets the default view of the dossier so that bookmarks are visible and the dossier pages are easy to read.

Searchable Text

The text in the dossier must be searchable so that committee members can easily move around within the dossier and confirm various elements of the content. The easiest way to create

searchable text is to create the elements of the dossier straight from Word or from Excel (in the case of the student teaching evaluation summaries), using the "Save as PDF" function from the File Menu. However, you can also create searchable text from a traditionally-scanned page (if, for example, you receive an external evaluator's letter through the mail), using the optical character recognition built into Adobe Acrobat Pro. To use this OCR function, click on Tools on the right side of the Acrobat menu. Click on "Recognize Text" and then click "In this file." Acrobat will convert the scanned text into searchable text. It is a requirement that all dossiers be searchable. Contact the Faculty Affairs Office if you have concerns about this step. <u>Non-searchable dossiers will be returned to the units that created them.</u>

ELEMENTS OF THE DOSSIER

The items below are numbered, as they are in the reference list at the bottom of the transmittal form. However, you do not need to include the numbers in the bookmark text of the dossier file. The numbers are included simply as an aid to organizing these materials.

1. **Transmittal Form**
2. **Curriculum Vitae (signed & dated by candidate)***
3. **Reputation of Publication Outlets (signed & dated by candidate)***
4. **Personal Statement (signed & dated by candidate)***
5. **Summary Statement of Professional Achievements (prepared by committee, signed & dated by candidate)***
   - **Optional Rejoinder from Candidate**
6. **Promotion Criteria***
   a. **Agreement of Modified Unit Criteria (if applicable)***
7. **Department APT Report (Vote & Evaluative Summary)**
   a. **Optional Minority Report**
8. **Department Chair's Letter**
9. **College APT Report**
10. **Dean's Letter**
11. **Student Evaluation Reports (signed & dated by candidate)***
12. **Peer Evaluation Data (signed & dated by candidate)***
13. **Mentoring, Advising & Research Supervision (signed & dated by candidate)***
14. **Credentials of External Evaluators**
15. **Responses of External Evaluators**
16. **Candidate Notification from Chair**
17. **Candidate Notification From Dean**
18. **Letter Log of Evaluation Requests**
19. **Sample Letter Requesting Evaluation* & Message Requesting Availability**
20. **Declines from Evaluators**

* Must be made available to the candidate.

1. Transmittal Form

Check the accuracy of information on the transmittal form carefully, particularly the record of votes, the dates of meetings, and the type of appointment (e.g., nine month, twelve month, etc.). For

new appointments, a separate letter with the proposed salary and start dates must be sent to the Faculty Affairs Office when the dossier is uploaded to the APT website (See New Faculty Appointment Form, page 55).

Candidate's Name: Give the candidate's full legal name.

UID No: Avoid disclosing Social Security Numbers by listing University ID number.

Citizenship: Tenure is granted to non-U.S. citizen candidates contingent on their possession of a visa status that permits continued employment by the University.

Summary of Votes: Record the number of: (1) positive votes, (2) negative votes, (3) mandatory abstentions, (4) voluntary abstentions, and (5) absences due to leaves, illnesses, etc.. The sum of the numbers in categories 1- 5, which will be automatically calculated on the transmittal form, should equal the total number of faculty members eligible to vote in the relevant APT body. Numbers recorded on the transmittal form must match numbers reported in APT Review Committee Reports.

When filling out contact information, be sure to include the dDepartment for the cCollege APT spokesperson.

2. Dean's Letter

Make sure the date on the Dean's letter agrees with the date on the transmittal form. Also, remember that the text of the Dean's letter must be searchable.

3. Candidate Notification from Dean

If either the College APT Review Committee or the Dean has made a negative recommendation, the dossier must include a letter from the Dean to the candidate that explains the recommendation.

4. College APT Report

This report must include the date of the meeting and the names of the Committee members. **The report should include a statement of the exact vote and the reasons for the recommendation (APT Policy Section** Error! Reference source not found., **page** Error! Bookmark not defined.**).** Check to be sure the meeting date and votes match what is on the transmittal form. The text of the report must be searchable.

5. Department Chair's Letter

Make sure the date on the letter matches the date on the transmittal form. Remember that the text of the letter must be searchable.

6. Promotion Criteria

The Department's APT criteria should be included after the Chair's letter. Remember that in cases where the criteria have changed, what appears in the dossier should be the criteria in force when the candidate was hired. The text of the promotion criteria must be searchable.

7. Candidate Notification from Chair

The notification letter must be sent to promotion candidates within two weeks of the submission of the dossier to the next level.

8. Department APT Report

The department APT report must include the date of the meeting and the exact vote. Make sure the report matches what is on the transmittal form. The text of the report must be searchable.

9. Advisory Subcommittee Report

Technically, the information included in this report is a part of the Department APT Report. In some instances, this information will not be provided as a separate document.

9a. Optional Minority APT Report

If such a report is included, it must be signed by its authors.

10. Candidate's Summary Statement

This statement of the candidate's accomplishments is often written by the Advisory Subcommittee members or a representative. The statement must be reviewed by the candidate at least two weeks before the full Department APT meeting; the candidate must sign and date the report to indicate that he or she agrees with the contents. The candidate may wish to draft a rejoinder to the report, which would also be signed and dated, and would be included directly after the Summary Statement in the dossier.

11. Letter Log of Evaluation Requests

This is a list of all external evaluators to whom a formal request for evaluation was sent, even if the evaluators do not reply or decline to write a letter. Some evaluators are suggested by the candidate and others are identified by the department APT committee, and this must be indicated on the letter log. In addition, the letter log should indicate if an evaluator declined to write a letter, or did not respond to the request. There is a letter log template available on the Faculty Affairs website, or you can create your own, as long as all the requisite information is included.

12. Declines from Evaluators

If an evaluator declines to write, his or her message to that effect – whether it is an email or a letter – must be included in the dossier. You can easily make a searchable PDF from an email by choosing Print from the file menu, and then changing the printer to "Adobe PDF." You will be prompted to enter a file name, and then depending on how Acrobat is installed on your computer, the file may open in Adobe, or you may have to open it yourself.

13. Credentials of External Evaluators

Credentials of the external evaluators should be briefly summarized in a single document under this bookmark. Each evaluator's credentials should be provided in a paragraph. Remember that this document must be searchable.

14. Sample Letter requesting Evaluation

This sample letter should be dated.

15. Responses of External Evaluators

Organize the external evaluator responses according to the requestor. So, the letters from evaluators suggested by the candidate would come first, and those requested by the unit would come second. Give each letter a separate bookmark that includes a C for candidate or a U for unit

(e.g., C. Smith; U. Jones). It is also helpful if the letters are included in alphabetical order by last name within each of these subcategories.

16. Curriculum Vitae

The candidate's CV should be in the format recommended by the University. A template is available on the Faculty Affairs website. The CV must be signed and dated by the candidate to indicate that it is complete and current; this signed and dated copy will be sent to external evaluators. If there are subsequent changes to the candidate's credentials, such as additional funding or new publications, they may be recorded as an addendum to the CV, which can then be included in the dossier. The addendum must also be signed and dated. The entire CV, including addenda, must be searchable.

17. Reputation of Publication Outlets

The information contained in this document will vary according to discipline. However, the document is most useful when it refers only to the outlets where the candidate's work appears and uses objective metrics to assess publication impact. A tabular format is preferred for presenting this information. If appropriate, citation counts should be included below the table, as well as a calculation of the candidate's h-index or other field-accepted metric. See the example below.

Journal	No. Of Articles	Impact Factor	Acceptance Rate
Psychological Review	5	4.3	15%
Cognition	10	2.3	20%
Child Development	15	1.9	22%

18. Personal Statement

The candidate's personal statement should be relatively short (3-4 pages), and directed toward readers who are not specialists in the candidate's field. Like the other materials provided by the candidate, it must be signed and dated.

19. Student Evaluation Data

These evaluation scores are an important indicator of teaching ability. They must be clearly presented so that they can be easily evaluated at all levels of review. An Excel spreadsheet template is available from the Faculty Affairs website, or you may wish to create your own. However, there are some elements that are essential:

a) Course numbers and terms when the course was taught must be clearly marked.
b) Include the number of students completing the evaluation.
c) Include the college mean for courses at the same level as the course being summarized.
d) Include a calculation of the average for the candidate and for the college, for each course, and for each semester the course was taught. The spreadsheet template will calculate these averages automatically.
e) Do not include the output from the Course Evaluation website in this dossier. If the candidate wishes to include it, it may be added to the supplemental teaching dossier.

2.   Curriculum Vitae

The candidate's CV should be in the format recommended by the University. A template is available on the Faculty Affairs website. The CV must be signed and dated by the candidate to indicate that it is complete and current; this signed and dated copy will be sent to external evaluators. If there are subsequent changes to the candidate's credentials, such as additional funding or new publications, they may be recorded as an addendum to the CV, which can then be included in the dossier. The addendum must also be signed and dated. The entire CV, including addenda, must be searchable.

3.   Reputation of Publication Outlets

The information contained in this document will vary according to discipline. However, the document is most useful when it refers only to the outlets where the candidate's work appears and uses objective metrics to assess publication impact. **The document must be shared with the candidate, and receipt acknowledged with the candidate's signature and date.** A tabular format is preferred for presenting this information. If appropriate, citation counts should be included below the table, as well as a calculation of the candidate's h-index or other field-accepted metric. See the example below.

Journal	No. Of Articles	Impact Factor	Acceptance Rate
Psychological Review	5	4.3	15%
Cognition	10	2.3	20%
Child Development	15	1.9	22%

4.   Personal Statement

The candidate's personal statement should be relatively short (3-4 pages), and directed toward readers who are not specialists in the candidate's field. Like the other materials provided by the candidate, it must be signed and dated.

5.   Summary Statement of Professional Achievements

This statement of the candidate's achievements is often written by the Advisory Subcommittee members or a representative. The statement must be reviewed by the candidate at least two weeks before the full Department APT meeting; the candidate must sign and date the report to indicate that he or she agrees with the contents. The candidate may wish to draft a rejoinder to the report, which would also be signed and dated, and would be included directly after the Summary Statement in the dossier.

6.   Promotion Criteria

The Department's APT criteria **and agreement of modified unit criteria (if applicable)** ~~should be included after the Chair's letter~~ **must be included in the dossier**. ~~Remember that in cases where the criteria have changed, what appears in the dossier should be the criteria in force when the candidate was hired.~~ The text of the promotion criteria **and any agreement must be signed and dated by the candidate for inclusion in the dossier, and** must be searchable.

7.   Department APT Report

The department APT report must include the date of the meeting and the exact vote. **This report provides the evaluative summary of the candidate's record by the Department APT Review Committee.** Make sure the report matches what is on the transmittal form. The text of the report must be searchable.

7a.   Optional Minority APT Report

If such a report is included, it must be signed by its authors.

8.   Department Chair's Letter

The Chair should perform an independent assessment of the candidate, separate from that of the Department APT Review Committee. The inclusion of quotations from external evaluators' letters and the Department APT Review Committee report should be avoided. Make sure the date on the letter matches the date on the transmittal form. Remember that the text of the letter must be searchable.

9.   College APT Report

This report must include the date of the meeting and the names of the Committee members, **and should avoid unnecessary repetition of prior reports contained in the dossier. The report should include a statement of the exact vote and the reasons for the recommendation (APT Policy Section IV.B.5~~, page 69~~).** Check to be sure the meeting date and votes match what is on the transmittal form. The text of the report must be searchable.

10.   Dean's Letter

The Dean should perform an independent assessment of the candidate, separate from that of the College APT Review Committee. The inclusion of quotations from external evaluators' letters and the College APT Review Committee report should be avoided. Make sure the date on the Dean's letter agrees with the date on the transmittal form. Also, remember that the text of the Dean's letter must be searchable.

11.   Student Evaluation Data

These evaluation scores are an important indicator of teaching ability. They must be clearly presented so that they can be easily evaluated at all levels of review. **The document must be shared with the candidate and indicated by signature and date.** An Excel spreadsheet template is available from the Faculty Affairs website, or you may wish to create your own. However, there are some elements that are essential:

a) Course numbers and terms when the course was taught must be clearly marked.
b) Include the number of students completing the evaluation.
c) Include the college mean for courses at the same level as the course being summarized.
d) Include a calculation of the average for the candidate and for the ~~c~~**C**ollege, for each course, and for each semester the course was taught. The spreadsheet template will calculate these averages automatically.
e) ~~Do not include the output from the Course Evaluation website in this dossier. If the candidate wishes to include it, it may be added to the supplemental teaching dossier.~~

Please do not include the **raw** output from the Course Evaluation website in this dossier. If the candidate wishes to include it, it may be added to the supplemental teaching ~~dossier~~ **portfolio.** If your ~~c~~**C**ollege does not use the university standard course evaluation system, there should also be an explanation of the rating system that is used, as well as a sample questionnaire.

12.   Peer Evaluation~~s~~ ~~Data~~ of Teaching

Include ~~the~~ **all** reports of peer evaluations of teaching **and any responses from the candidate**. **These documents must be shared with the candidate and indicated by signature and date**. ~~If peer evaluation does not take place in your department, include a memo from the chair to that effect.~~

13.   Mentoring, Advising & Research Supervision

This bookmark may jump to the appropriate page in the candidate's CV, unless there is additional information about these activities not appropriate to include in the CV. If you are bookmarking to a page in the CV, set the bookmark to the exact page, rather than to the beginning of the CV. There is no need to include a separate page here which merely refers to the CV. If there is a document with information here, it should also include the entire CV section on mentoring, advising, etc. **This document must be shared with the candidate and indicated by signature and date.**

14.   Credentials of External Evaluators

Credentials of the external evaluators should be briefly summarized in a single document under this bookmark. Each evaluator's credentials should be provided in a paragraph. Remember that this document must be searchable.

15.   Responses of External Evaluators

Organize the external evaluator responses according to the requestor. So, the letters from evaluators suggested by the candidate would come first, and those requested by the unit would come second. Give each letter a separate bookmark that includes a C for candidate or a U for unit (e.g., C – Smith; U – Jones). It is also helpful if the letters are included in alphabetical order by last name within each of these subcategories.

16.   Candidate Notification from Chair

The notification letter must be sent to promotion candidates within two weeks of the **Chair's** decision. **This letter is included in the dossier.**

17.   Candidate Notification from Dean

~~If either the College APT Review Committee or the Dean has made a negative recommendation, the dossier must include a letter from the Dean to the candidate that explains the recommendation.~~ **The Dean must inform the candidate of the second-level APT Review Committee's decision and the Dean's decision within two weeks of the date of the decision by the Dean. This letter is included in the dossier.**

18.   Letter Log of Evaluation Requests

This is a list of all external evaluators to whom a request for evaluation was sent **(including emailed requests for availability and formal requests with supporting materials),** even if the evaluators do not reply or decline to write a letter. Some evaluators are suggested by the candidate and others are identified by the ~~d~~**D**epartment APT Review Committee, and this must be indicated on the letter log. In addition, the letter log should indicate **the dates of requests for availability and formal evaluation, an evaluator's availability**, if an evaluator declined to write a letter **after initially expressing availability**, or did not respond to the request. There is a letter log template available on the Faculty Affairs website, or you can create your own, as long as all the requisite information is included.

19.   Sample Requests for Availability and Evaluation with Supporting Materials

The sample email requesting availability and the formal letter requesting evaluation (accompanied by supporting materials) must be dated.

20.   Declines from Evaluators

If an evaluator declines to write **after initially expressing availability,** his or her message to that effect – whether it is an email or a letter – must be included in the dossier. ~~You can easily make a searchable PDF from an email by choosing Print from the file menu, and then changing the printer to "Adobe PDF." You will be prompted to enter a file name, and then depending on how Acrobat is installed on your computer, the file may open in Adobe, or you may have to open it yourself.~~

UPLOADING THE DOSSIER AND TEACHING PORTFOLIO

To upload a dossier **and teaching portfolio** to the Faculty Affairs website, go to http://faculty.umd.edu/apt and login with your university login. You will see a list of the candidates from your ~~c~~**C**ollege; choose upload dossier **and upload teaching portfolio** for the appropriate candidate and follow the on-screen instructions. There is no need to notify the Faculty Affairs office when you upload a dossier **or a teaching portfolio**; we receive an automatic notification.

CREATING THE SUPPLEMENTAL DOSSIER

The supplemental dossier might include additional pieces of scholarship and ~~/ or information about the candidate's teaching~~ **other materials submitted by the candidate**. The contents of the

supplemental dossier should be bookmarked to show what they are. The supplemental dossier must also have a password, and be set to open with the bookmarks panel visible and the page zoomed to the full width of the screen.

Appendix A

LETTER LOG

UNIT'S CHOICE		DATES			
EVALUATOR	AFFILIATION	INITIAL CONTACT	AVAILABLE, UNAVAILABLE, NO RESPONSE	MATERIALS SENT	~~EVALUATION OR DECLINE RECEIVED~~ DATE RECEIVED, NO RESPONSE

CANDIDATE'S CHOICE		DATES			
EVALUATOR	AFFILIATION	INITIAL CONTACT	AVAILABLE, UNAVAILABLE, NO RESPONSE	MATERIALS SENT	~~EVALUATION OR DECLINE RECEIVED~~ DATE RECEIVED, NO RESPONSE

~~* Please indicate declines with an asterisk next to the date reply received, and bookmark and include the letters or emails of decline directly after the letter log in the dossier.~~

NEW FACULTY APPOINTMENT INFORMATION

Provide the following information for the Candidate:			
Candidate's Name			
Mailing Address			
Type of Appointment	9 month ☐	12 month ☐	
Unless otherwise indicated, the following start dates should be inserted: *For 9-month appointments, August 23* *For 12-month appointments, July 1*			
Expected Start Date			
Salary	$	(State Supported)	
	$	(External Funding)	
If joint appointment, provide a breakdown of salary (by percentage or dollar amount):			
Primary Department			
Secondary Department			

CANDIDATE NOTIFICATION OF APT DECISION

Department Level:

Type of Case	Letters From	Contents of Letters	Placement in Dossier	Deadline / Delivery Method	Who May Review the Letter
Both Chair & Committee vote negatively	Dept. Chair & Dean	Dept. Chair: Votes, decision, rationale of Committee & Chair	Front of Dossier. Send entire dossier to Faculty Affairs	Chair's: Required within 2 weeks of **Chair's** decision, certified mail	Chair's: *Required: Comm. Chair* *Optional: Comm. Members*
		Dean: Confirm review was conducted appropriately; promotion denied		Dean's: Suggested within 1 month, certified mail	Dean's: No one
Either / both vote(s) positively	Dept. Chair	Dept. Chair: Votes, decision, rationale of Committee & Chair	~~After Dept. Chair's Letter~~ **In Appendix**	Required within 2 weeks of **Chair's** decision	N/A

College Level:

Type of Case	Letter From	Contents of Letter	Placement in Dossier	Deadline / Delivery Method	Who May Review the Letter
Either / both vote(s) negatively	Dean	Decision & rationale of Committee & Dean	~~After Dean's Letter~~ **In Appendix**	within 2 weeks of **Dean's** decision	*Required: Comm. Chair* *Optional: Comm. Members*
Both are positive	~~N/A~~ **Dean**	~~N/A~~ **Votes, decision, rationale of Committee & Dean**	~~N/A~~ **In Appendix**	~~N/A~~ **within 2 weeks of Dean's decision**	N/A

Campus Level:

Type of Case	Letter From	Contents of Letter	Placement in Dossier	Deadline / Delivery Method	Who May Review the Letter
All Cases	Associate Provost	Decision (if vote is negative, rationale)	Before President's Letter	Following decision of the President	N/A

President:

Type of Case	Letter From	Contents of Letter	Placement in Dossier	Deadline / Delivery Method	Who May Review the Letter
Decision is negative	President	Decision (if mandatory case, termination date)	Front of dossier [Dossier placed in candidate's personnel file]	Suggested within 2 weeks of **President's** decision, certified mail	N/A
Decision is positive		Decision and effective date of promotion		Suggested within 2 weeks of **President's** decision	

TRANSMITTAL FORM

Appointment, Promotion, and Tenure

Candidate's Name		UID No.	
Primary Unit		Secondary Unit	
College		Date to Rank	
Present Rank		Proposed Rank	
Mandatory Review	Yes ◯ No ◯	Citizenship	
New Hire	Yes ◯ No ◯	Type of Appt:	9-month

Primary Unit

Tenure Home	Meeting Date	Vote Summary Yes	No	Abstentions Vol.	Man.	Absent	Sum
Dept. APT Committee							0
Department Chair							0
College APT Committee							0
Dean							0

Secondary Unit

Joint Appointment	Meeting Date	Vote Summary Yes	No	Abstentions Vol.	Man.	Absent	Sum
Dept. APT Committee							0
Department Chair							0
College APT Committee							0
Dean							0

Contact Information

	Name	Phone	Email	Address
Dean				
College APT Spokesperson				
Dept. Chair				
Dept. APT Spokesperson				

Items to be included in the Dossier

Review Committee Materials
1. Transmittal Form
2. Dean's Letter
3. Candidate Notification from Dean
4. College APT Report
5. Department Chair's Letter
6. Promotion Criteria
7. Candidate Notification from Chair
8. Department APT Report
9. Advisory Subcomittee Report
10. Candidate's Summary Statement (signed & dated)

External Evaluator Materials
11. Letter Log of Evaluation Requests
12. Declines from Evaluators
13. Credentials of External Evaluators
14. Sample Letter requesting Evaluation
15. Responses of External Evaluators

Candidate's Materials
16. Curriculum Vitae (signed & dated)
17. Reputation of Publication Outlets
18. Personal Statement (signed & dated)
19. Student Evaluation Data
20. Peer Evaluation Data
21. Mentoring, Advising & Research Supervision

Supplemental Dossier Materials

WHAT'S IN THE DOSSIER FOR DIFFERENT CASES?

	Promotion	Emeriti	Professor of the Practice	New Professors College Park Professor	New University of Maryland Professor	✦Joint Appointments	Assoc. Prof. without Tenure
Transmittal Form	✓	✓	✓	✓	✓	✓	
Dean's Letter	✓	✓	✓	✓	✓	✓	✓
Candidate Notification Letter	✓						
College APT **Review** Committee Report	✓			✓	✓	✓	
Department Chair's Letter (and Secondary Unit Head's letter, if applicable)	✓	✓	✓	✓	✓	✓	✓
Promotion Criteria	✓		✓	✓	✓	✓	
Candidate Notification Letter	✓						
Dept. APT **Review** Committee Report	✓	✓	✓*	✓	✓	✓	
Dept. Evaluative Report	✓		✓*	✓	✓	✓	
Summary Statement of Professional Achievements (signed & dated)	✓					✓	
Curriculum Vitae (signed & dated)	✓	✓	✓	✓	✓	✓	✓
Reputation of Publication Outlets **(signed & dated)**	✓			✓	✓	✓	
Candidate's Personal Statement (signed & dated)	✓					✓	
Log of Letters of Evaluation	✓		✓*	✓	✓	✓	
Credentials of External Evaluators	✓		✓*	✓	✓	✓	
Sample Letter Used to Solicit External Evaluations	✓		✓*	✓	✓	✓	
Responses of External Evaluators (at least 6, 3 chosen by candidate)	✓		✓*	✓	✓	✓	✓†
Student Evaluations of Teaching **(signed & dated)**	✓		✓	✓**	✓	✓	
Peer Evaluations of Teaching **(signed & dated)**	✓					✓	
Mentoring, Advising, Research Supervision **(signed & dated)**	✓		✓*	✓**	✓	✓	
Supplemental Materials	✓			✓		✓	
Retirement Documentation		✓					
Submit: Electronic Copy	✓	✓	✓	✓	✓	✓	

*Not needed for renewal

**Not necessary for College Park Professors. *For College Park Professors of extreme stature (e.g., Nobel Laureates), letters may be bypassed.*

† Recommendation letters, as for a job application.

✦See section on Joint Appointments for interweaving input from multiple sources at each level

Appendix B

SAMPLE LETTER TO EXTERNAL EVALUATOR

Dear Dr. XXXXXX:

Dr. XXXX XXX is due to be reviewed for Associate Professor **with tenure** in academic year YYYY-YYYY. I am writing to request your confidential evaluation of the qualifications of Dr. XXX for promotion to the rank of Associate Professor of XXXX with ~~T~~tenure.

[If a tenure delay has been granted, insert the following language: "Dr. XXX has received an extension of time for review for tenure and/or promotion in accordance with University of Maryland policy. University policy expressly provides that faculty shall not be disadvantaged upon review as a result of such an extension. Please evaluate Dr. XXX's dossier as if it were completed in the ordinary period for review, which is xx years from appointment."]

In accordance with Appointment, Promotion, and Tenure Policy and Guidelines adopted by the University of Maryland, College of XXXX and Department of XXXX at College Park, I am required to indicate the criteria for promotion and request your evaluation of the following:

- the quality of the publications of the candidate,
- the impact of the candidate's research,
- the quality of the journals in which the candidate has published,
- the potential for future contributions,
- the candidate's service to the profession,
- the candidate's ~~teaching abilities and~~ performance **with regard to teaching and mentoring** ,
- **the candidate's qualifications for promotion based on the criteria provided,**
- how the candidate compares to others in the field at a comparable stage in their careers ~~and whether or not you would recommend promotion/tenure at your institution(this is an important component in your considerations),~~
- the nature of your professional interaction with the candidate, if applicable,
- potential clarification of the candidate's collaboration with other scholars in his/her field.

To assist in your evaluation, I am enclosing the following information: Dr. XXX's latest curriculum vitae and personal statement, copies of the [X number of] papers listed below selected by Dr. XXX, and a brief summary of the promotion criteria.

I realize that this information is rather extensive and will require considerable effort on your part to review. However, your assistance in helping evaluate Dr. XXX's credentials will be greatly appreciated and will constitute an important element in the overall evaluation. I would be very grateful if you could respond to us in writing no later than…….. If possible, would you send your reply electronically to ……..umd.edu as an attachment?

Sincerely,

XXXX X. XXXXXX
Chair, APT Review Committee
Department of XXX

enclosures: CV, personal statement, publications (please list), Department promotion criteria

SAMPLE LANGUAGE FOR CASES OF DENIAL OF PROMOTION

The eligible voting members of the dDepartment met on October 25, 2012 to consider your case for promotion. The vote to endorse your promotion was X yes and Y no with Z mandatory abstentions. This vote, to deny your promotion, reflected concerns about your low scholarly productivity and failure to obtain external funding. Regrettably, I concur with the decision. I am forwarding your dossier to the Dean for review of the evaluative procedures.

SAMPLE LANGUAGE FOR LETTERS OF REVIEW
FOR ADHERENCE TO DUE PROCESS

As you know, the faculty and Chair of the Department of ... have recommended against promoting you to the rank of ... The University APT Policy requires me, as Dean of the College of ..., to "review the case to ensure that the candidate has received procedural and substantive due process." I have carefully examined your case and find no evidence of procedural or substantive due process errors during the review.

For letters to Associate Professors:

I, therefore, accept the judgment of the Department APT Review Committee and the Chair that you not be promoted to the rank of Professor at this time. I hope and trust that your continued efforts in teaching, research, mentoring, and service will warrant promotion at a later date.

For letters to Assistant Professors and untenured Associate Professors undergoing mandatory review:

I, therefore, accept the judgment of the Department APT Review Committee and the Department Chair that you not be (promoted to the rank of Associate Professor and) granted tenure. You will be granted an additional one-year contract and your appointment will terminate on ____.

Please accept my best wishes in your future endeavors.

Sincerely,

Dean ....

Student Evaluation Ratings

Course: UNIV100	N	Mean F07	College Mean*	N	Mean S08	College Mean*	N	Mean F08	College Mean*
The instructor treated students with respect.	19	3.05	3.26	39	3.08	3.29	27	3.05	3.26
The instructor was well-prepared for class.	19	3.05	3.27	39	3.09	3.47	27	3.09	3.47
The course was intellectually challenging.	19	3.00	3.00	39	3.00	3.00	27	3.00	3.00
I learned a lot from this course.	19	3.21	2.88	39	3.27	2.78	27	3.27	2.78
Overall, this instructor was an effective teacher.	19	3.26	2.82	39	3.29	2.82	27	3.26	2.82
Average		3.11	3.05		3.15	3.07		3.13	3.07

* Average rating for all similarly leveled course sections (e.g., all 100-level courses sections) in that college in that semester.
Scaled 0-4: Strongly Disagree=0; Strongly Agree=4. N/A is not in the average.

The standards the instructor set for students were...			
	F07	S08	F08
Too Low	0%	5%	10%
Appropriate	89%	85%	80%
Too High	11%	10%	10%

How does this course fit into your academic plan or course of study?			
	F07	S08	F08
CORE Requirement	32%	29%	10%
Program Requirement	58%	61%	80%
Elective	11%	10%	10%

Click here to download an Excel spreadsheet where you can enter student evaluation numbers for a single course. The sheet is formatted to fit on one page, and after you have completed it for the first course, you can save it as a PDF, then change the numbers for the second course, save it as a second PDF, and etc. When you are finished, all those PDF pages can be added to your dossier file using Acrobat.

II-1.00(A)   UNIVERSITY OF MARYLAND POLICY **& PROCEDURES** ON APPOINTMENT, PROMOTION, AND TENURE OF FACULTY

(Approved by the President, February 16, 1993; approved by the Chancellor, March 26, 1993; text on Distinguished University Professor approved by the Chancellor on April 15, 1994; text on Emeritus Status added 1995; text on mandatory retirement at age 70 removed March, 1996; text on term of service for APT committee members amended February 1998; text on Professor of Practice amended 1998; text on Senior Lecturer added November 2002; text on appeals process amended August 2003; text on Field Faculty added October 2003; text on Librarians added April, 2004; approved by the President and the Chancellor, December 2004, effective August 23, 2005; text on College Park Professor added June 2005, continuing through May 2012; text on Librarian Emerita /Emeritus status added April 2006; text on faculty with split appointments on APT committees added April 2006; text on Faculty Extension Agent and Associate Agent amended December 15, 2006; text on composition of third or campus-level review committee amended November 23, 2010; text on Clinical Faculty titles added March 13, 2012; text on Clinical Faculty titles amended May 9, 2012; technical changes September 17, 2012; text on University of Maryland Professor added November 15, 2012.)

This policy complements the University of Maryland System Policy on Appointment, Rank, and Tenure of Faculty, adapting that policy in accordance with the institutional mission of the University of Maryland at College Park. Within the framework of the System Policy, it specifies the criteria and procedures related to faculty personnel actions**,** which shall apply to the University of Maryland at College Park.

Subject to the provisions of paragraphs I.C.~~15~~**14** ~~and~~ **through** I.C.~~17~~**16** of the University of Maryland System Policy on Appointment, Rank and Tenure of Faculty (1989), the provisions of paragraph III.C of this University of Maryland at College Park Policy on Appointment, Promotion and Tenure of Faculty shall be published in the Faculty Handbook and shall constitute part of the contractually binding agreement between the university and the faculty member. Any proposed changes to this University of Maryland at College Park Policy on Appointment, Promotion and Tenure of Faculty shall be submitted for initial review and endorsement by the College Park Campus Senate.

TERMINOLOGICAL NOTE

The procedures spelled out in this document for tenure and promotion review specify three levels of review below the President's office. For most faculty members these are the department, the college, and the campus levels. However, some faculty members are appointed in colleges and schools that are not departmentalized and that conduct the initial review at the college or school level. For uniform terminology the initial review, whether conducted by a department or a non-departmentalized school or college, is referred to as a "first-level review," and "department" is usually replaced by "first-level unit." First-level units thus comprise departments, non-departmentalized schools, and non-departmentalized colleges. Higher levels of review are referred to as "second-level" and "third-level."

 For the purpose of this policy, the term "university" and the term "institution" shall be synonymous and shall mean the University of Maryland at College Park. For the purpose of this policy, the word "days" shall refer to calendar days.

PURPOSE OF THIS POLICY

The University of Maryland is dedicated to the discovery and the transmission of knowledge and to the achievement of excellence in its academic disciplines. **A fair, unbiased, and impartial appointment, tenure, and promotion process is essential to this goal.** Each faculty member has a personal responsibility for contributing to the achievement of excellence in his or her own academic discipline and for exercising the best judgment in advancing the department, the college, and the University. Those faculty members holding the rank of Professor have the greatest responsibility for establishing and maintaining the highest standards of academic performance within the University. This Policy on the Appointment, Promotion, and Tenure of Faculty exists to set the standards for appointment and promotion to the various faculty ranks and to recognize and to encourage the achievement of excellence on the part of the faculty members through the awarding of tenure and through promotion within the faculty ranks. Through this process the University builds and enhances its educational programs and services and it advances the state of knowledge**,** which supports the growth and development of our society.

I.   MINIMUM QUALIFICATIONS FOR APPOINTMENT OR PROMOTION TO THE ACADEMIC AND ACADEMIC ADMINISTRATIVE RANKS

The only faculty ranks which may involve a tenure commitment are: Professor, Associate Professor, Assistant Professor, Principal Agent, Senior Agent, and Agent, and such other ranks as the Board of Regents may approve. Effective April 5, 1989, appointments to all other ranks, including any qualified rank, other than an honorific qualification, in which an additional adjective is introduced, are for a definite term and do not involve a tenure commitment. Those granted tenure in such a rank before April 5, 1989, shall continue to hold tenure in that rank.

The following shall be the minimum qualifications for appointment or promotion to the academic ranks in use by the University of Maryland at College Park.

        A.   Faculty with Duties in Teaching and Research

                1.   Instructor[1]

                        An appointee to the rank of Instructor ordinarily shall hold the highest earned degree in his or her field of specialization. There shall be evidence also of potential for excellence in teaching and for a successful academic career. The rank does not carry tenure.

                2.   Assistant Professor

                        The appointee shall have qualities suggesting a high level of teaching ability in the relevant academic field, and shall provide evidence of potential for superior research, scholarship, or artistic creativity in the field. Because this is a tenure-

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[1] As of November 14, 1995, this title may NOT be used for new appointments.

track position, the appointee shall at the time of appointment show promise of having, at such time as he or she is to be reviewed for tenure and promotion in accordance with paragraph I.C.4 of the University of Maryland System Policy and paragraph III.C.3 of this policy, the qualities described under "Associate Professor" below. In most fields the doctorate shall be a requirement for appointment to an assistant professorship. Although the rank normally leads to review for tenure and promotion, persons appointed to the rank of Assistant Professor after the effective date of this policy shall not be granted tenure in this rank.

3. <u>Associate Professor</u>

In addition to having the qualifications of an Assistant Professor, the appointee shall have a high level of competence in teaching and advisement in the relevant academic field, shall have demonstrated significant research, scholarship, or artistic creativity in the field and shall have shown promise of continued productivity, shall be competent to direct work of major subdivisions of the primary academic unit and to offer graduate instruction and direct graduate research, and shall have served the campus, the profession, or the community in some useful way in addition to teaching and research. Promotion to the rank from within confers tenure; appointment to the rank from without may confer tenure.

4. <u>Professor</u>

In addition to having the qualifications of an Associate Professor, the appointee shall have established a national and, where appropriate, international reputation for outstanding research, scholarship or artistic creativity, and a distinguished record of teaching. There also must be a record of continuing evidence of relevant and effective professional service. The rank carries tenure.

B. <u>Faculty with Duties Primarily in Research, Scholarship, or Artistic Creativity</u>

All appointments in the following titles are renewable. Appointments with these faculty titles do not carry tenure.

1. <u>Faculty Research Assistant</u>

The appointee shall be capable of assisting in research under the direction of the head of a research project and shall have ability and training adequate to the carrying out of the particular techniques required, the assembling of data, and the use and care of any specialized apparatus. A baccalaureate degree shall be the minimum requirement.

2. <u>Research Associate</u>

The appointee shall be trained in research procedures, shall be capable of carrying out individual research or collaborating in group research at the advanced level, and shall have had the experience and specialized training necessary for success in such research projects as may be undertaken. An earned doctorate shall normally be a minimum requirement.

3. Research Assistant Professor; Assistant Research Scientist; Assistant Research Scholar; Assistant Research Engineer

These ranks are generally parallel to Assistant Professor. In addition to the qualifications of a Research Associate, appointees to these ranks shall have demonstrated superior research ability. Appointees should be qualified and competent to direct the work of others (such as technicians, graduate students, other senior research personnel). The doctoral degree will be a normal requirement for appointment at these ranks. Appointment to these ranks may be made for a period of up to three years.

4. Research Associate Professor; Associate Research Scientist; Associate Research Scholar; Associate Research Engineer

These ranks are generally parallel to Associate Professor. In addition to the qualifications required of the assistant ranks, appointees to these ranks should have extensive successful experience in scholarly or creative endeavors, and the ability to propose, develop, and manage major research projects. Appointment to these ranks may be made for a period of up to three years.

5. Research Professor; Senior Research Scientist; Senior Research Scholar; Senior Research Engineer

These ranks are generally parallel to Professor. In addition to the qualifications required of the associate ranks, appointees to these ranks should have demonstrated a degree of proficiency sufficient to establish an excellent reputation among regional and national colleagues. Appointees should provide tangible evidence of sound scholarly production in research, publications, professional achievements or other distinguished and creative activity. Appointment to these ranks may be made for a period of up to five years.

6. Assistant Artist-in-Residence; Associate Artist-in-Residence; Senior Artist-in-Residence

These titles, parallel to Assistant Professor, Associate Professor, and Professor, respectively, are intended for those persons whose professional activities are of a creative or performance nature, including but not limited to theatre, dance, music, and art. In each case, the qualifications shall reflect demonstrated

superior proficiency and excellence and progressively higher national and international reputation, as appropriate to the ranks involved. Appointment to the rank of Senior Artist-in-Residence may be made for a period of up to five years; appointment to the ranks of Assistant Artist-in-Residence and Associate Artist-in-Residence may be made for a period of up to three years.

C.   <u>Field Faculty</u>

1.   <u>Associate Agent</u>

The appointee shall hold at least a bachelor's degree and shall show evidence of ability to work with people. The appointee shall have an educational background related to the specific position and should demonstrate evidence of creative ability to plan and implement Cooperative Extension Service programs. This is a term appointment and may be renewed annually.

2.   <u>Faculty Extension Assistant</u>

The appointee shall be capable of assisting in Extension under the direction of the head of an Extension project and have the specialized expertise, training and ability to perform the duties required. An earned bachelor's degree and experience in the specialized field is required.

3.   <u>Faculty Extension Associate</u>

The appointee shall be capable of carrying out individual instruction or collaborating in group discussions at the advanced level, should be trained in Extension procedures, and should have had the experience and specialized training necessary to develop and interpret data required for success in such Extension projects as may be undertaken. An earned doctorate shall be the minimum requirement.

4.   <u>Agent (parallel to the rank of Assistant Professor)</u>

The appointee must hold a master's degree in an appropriate discipline and show evidence of academic ability and leadership skills. The appointee shall have an educational background related to the specific position.

5.   <u>Senior Agent (parallel to the rank of Associate Professor)</u>

In addition to the qualifications of an Agent, the appointee must have demonstrated achievement in program development and must have shown originality and creative ability in designing new programs, teaching effectiveness, and evidence of service to the community, institution, and profession. Appointment to this rank may carry tenure.

6. Principal Agent (parallel to the rank of Professor)

In addition to the qualifications of a Senior Agent, the appointee must have demonstrated leadership ability and evidence of service to the community, institution, and profession. The appointee must also have received recognition for contributions to the Cooperative Extension Service sufficient to establish a reputation among State, regional and/or national colleagues, and should have demonstrated evidence of distinguished achievement in creative program development. Appointment to this rank carried tenure.

D. Faculty Engaged Exclusively or Primarily in Clinical Teaching

All appointments in the following titles are renewable. Appointments with these faculty titles do not carry tenure.

1. Clinical Assistant Professor

The appointee shall hold, as a minimum, the terminal professional degree in the field, with training and experience in an area of specialization. There must be clear evidence of a high level of ability in clinical practice and teaching in the departmental field, and the potential for clinical and teaching excellence in a subdivision of this field. The appointee should also have demonstrated scholarly and/or administrative ability.

2. Clinical Associate Professor

In addition to the qualifications required of a Clinical Assistant Professor, the appointee should ordinarily have had extensive successful experience in clinical or professional practice in a field of specialization, or in a subdivision of the departmental field, and in working with and/or directing others (such as professionals, faculty members, graduate students, fellows, and residents or interns) in clinical activities in the field. The appointee must also have demonstrated superior teaching ability and scholarly or administrative accomplishments.

3. Clinical Professor

In addition to the qualifications required of a Clinical Associate Professor, the appointee shall have demonstrated a degree of excellence in clinical practice and teaching sufficient to establish an outstanding regional and national reputation among colleagues. The appointee shall also have demonstrated extraordinary scholarly competence and leadership in the profession.

E. Faculty Engaged Exclusively or Primarily in Library Services

Library faculty hold the ranks of Librarian I-IV. Each rank requires a master's degree from an American Library Association accredited program or a graduate degree in another field where appropriate. The master's degree is considered the terminal degree. Appointments to these ranks are for 12 months with leave and other benefits provided to twelve-month tenured/tenure track faculty members with the exception of terminal leave, sabbatical leave, and non-creditable sick leave (collegially supported).

Permanent status is an institutional commitment to permanent and continuous employment to be terminated only for adequate cause (for example, professional or scholarly misconduct; incompetence; moral turpitude; or willful neglect of duty) and only after due process in accordance with relevant USM and campus policies. Librarians at the rank of Librarian I and Librarian II are not eligible for permanent status. Permanent status is available for library faculty holding the rank of Librarian III and Librarian IV. Those candidates without permanent status applying for the rank of Librarian III and Librarian IV shall be considered concurrently for permanent status.

1. <u>Librarian I</u>

   This is an entry-level rank, assigned to librarians with little or no professional library experience. This rank does not carry permanent status.

2. <u>Librarian II</u>

   Librarians at this rank have demonstrated professional development evidenced by achievement of a specialization in a subject, service, technical, administrative, or other area of value to the library. This rank does not carry permanent status.

3. <u>Librarian III</u>

   Librarians at this rank have a high level of competence in performing professional duties requiring specialized knowledge or experience. They shall have served the Libraries, the campus, or the community in some significant way; have shown evidence of creative or scholarly contribution; and have been involved in mentoring and providing developmental opportunities for their colleagues. They shall have shown promise of continued productivity in librarianship, service, and scholarship or creativity. Promotion to this rank from within the Libraries confers permanent status; appointment to this rank from outside the Libraries may confer permanent status.

4. <u>Librarian IV</u>

   Librarians at this rank show evidence of superior performance at the highest levels of specialized work and professional responsibility. They have shown evidence of and demonstrate promise for continued contribution in valuable

service and significant creative or scholarly contribution. Such achievement must include leadership roles and have resulted in the attainment of Libraries, campus, state, regional, national, or international recognition. This rank carries permanent status.

F.   Additional Faculty Ranks

1.   Assistant Instructor

The appointee shall be competent to fill a specific position in an acceptable manner, but he or she is not required to meet all the requirements for an Instructor. He or she shall hold the appropriate baccalaureate degree or possess equivalent experience.

2.   Lecturer

The title Lecturer will ordinarily be used to designate appointments, at any salary and experience level, of persons who are serving in a teaching capacity for a limited time or part-time. This rank does not carry tenure.

3.   Senior Lecturer

In addition to having the qualifications of a lecturer, the appointee normally shall have established over the course of six years a record of teaching excellence and service. Appointment to this rank requires the approval of the departmental faculty. The appointment is made for a term not to exceed five years and is renewable. This rank does not carry tenure.

4.   Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor

The appointee shall be associated with the faculty of a department or non-departmentalized school or college, but shall not be essential to the development of that unit's program. The titles do not carry tenure. The appointee may be paid or unpaid. The appointee may be employed outside the University, but shall not hold another paid appointment at the University of Maryland at College Park. The appointee shall have such expertise in his or her discipline and be so well regarded that his or her appointment will have the endorsement of the majority of the members of the professorial faculty of the academic unit. Any academic unit may recommend to the administration persons of these ranks; normally, the number of adjunct appointments shall comprise no more than a small percentage of the faculty in an academic unit. Appointments to these ranks shall not extend beyond the end of the fiscal year during which the appointment becomes effective and may be renewed.

5. Affiliate Assistant Professor, Affiliate Associate Professor, Affiliate Professor, Affiliate Librarian II, Affiliate Librarian III, and Affiliate Librarian IV

    These titles shall be used to recognize the affiliation of a faculty member or other university employee with an academic unit other than that to which his or her appointment and salary are formally linked. The nature of the affiliation shall be specified in writing, and the appointment shall be made upon the recommendation of the faculty of the department with which the appointee is to be affiliated and with the consent of the faculty of his or her primary department. The rank of affiliation shall be commensurate with the appointee's qualifications.

6. Visiting Appointments

    The prefix Visiting before an academic title, e.g., Visiting Professor, shall be used to designate a short-term professorial appointment without tenure.

7. Emerita, Emeritus

    The word emerita or emeritus after an academic title shall designate a faculty member who has retired from full-time employment in the University of Maryland at College Park after meritorious service to the University in the areas of teaching, research, or service. Emerita or emeritus status may be conferred on Associate Professors, Professors, Distinguished University Professors, Research Associate Professors, Research Professors, Senior Agents, Principal Agents, Librarians III, and Librarians IV.

8. Distinguished University Professor

    The title Distinguished University Professor will be conferred by the President upon a limited number of members of the faculty of the University of Maryland at College Park in recognition of distinguished achievement in teaching; research or creative activities; and service to the University, the profession, and the community. College Park faculty who, at the time of approval of this title, carry the title of Distinguished Professor, will be permitted to retain their present title or to change to the title of Distinguished University Professor. Designation as Distinguished University Professor shall include an annual allocation of funds to support   his or her professional activities, to be expended in accordance with applicable University policies.

9. Professor of the Practice

    This title may be used to appoint individuals who have demonstrated excellence in the practice as well as leadership in specific fields. The appointee shall have attained regional and national prominence and, when appropriate, international

recognition of outstanding achievement. Additionally, the appointee shall have demonstrated superior teaching ability appropriate to assigned responsibilities. As a minimum, the appointee shall hold the terminal professional degree in the field or equivalent stature by virtue of experience. Appointees will hold the rank of Professor but, while having the stature, will not have rights that are limited to tenured faculty. Initial appointment is for periods up to five years, and reappointment is possible. This title does not carry tenure, nor does time served as a Professor of the Practice count toward achieving tenure in another title.

10.   College Park Professor

This title may be used for nationally distinguished scholars, creative or performing artists, or researchers who would qualify for appointment at the University of Maryland at College Park at the level of ~~p~~**P**rofessor but who normally hold full-time positions outside the University. Holders of this title may provide graduate student supervision, serve as principal investigators, and participate in departmental and college shared governance. Initial appointment is for three years and is renewable ~~annually~~ **every three years** upon recommendation to the Provost by the unit head and ~~d~~**D**ean. Appointment as a College Park Professor does not carry tenure or expectation of salary.

11.   University of Maryland Professor

This title may be used for nationally distinguished scholars, creative or performing artists, or researchers who have qualified for full-time appointments at the University of Maryland, Baltimore at the level of ~~p~~**P**rofessor, who are active in MPowering the State programs, and who also qualify for full-time appointment at the University of Maryland, College Park at the level of ~~p~~**P**rofessor. Holders of this title may provide graduate student supervision, serve as principal investigators, and participate in departmental and shared governance. Initial appointments are for three years and are renewable ~~annually~~ **every three years** upon recommendation to the Provost by the unit head and ~~d~~**D**ean. This is a non-paid, non-tenure track title but initial appointments must follow the procedures for appointment as a new tenured Professor.

12.   Other Titles

No new faculty titles or designations shall be created by the University of Maryland at College Park for appointees to faculty status without approval by the Campus Senate and the President.

II.   CRITERIA FOR APPOINTMENT AND PROMOTION

The criteria for appointment, tenure, and promotion shall reflect the educational mission of the University of Maryland at College Park: to provide an undergraduate education ranked among the best in the nation; to provide a nationally and internationally renowned program of graduate education and research, making significant contributions to the arts, the humanities, the professions, and the sciences; and to provide public service to the state and the nation embodying the best tradition of outstanding land-grant colleges and universities.

In the case of both appointments and promotions every effort shall be made to fill positions with persons of the highest qualifications. Search, appointment, and promotion procedures shall **be fair, unbiased, and impartial, and** comply with institutional policies~~, including affirmative action guidelines,~~ **that are** ~~and be~~ widely publicized and published in the Faculty Handbook.

It is the special responsibility of those in charge of recommending appointments to make a thorough search of available talent before recommending appointees. At a minimum, the search for full-time tenure-track or tenured faculty and academic administrators shall include the advertisement of available positions in the appropriate media.

Decisions on tenure-track appointments must also take account of the academic needs of the department, school, college, and institution at the time of appointment and the projected needs at the time of consideration for tenure. This is both an element of sound academic planning and an essential element of fairness to candidates for tenure-track positions. Academic units shall select for initial appointment those candidates who, at the time of consideration for tenure, are most likely to merit tenure and also whose areas of expertise are most likely to be compatible with the unit's projected programmatic needs. The same concern shall be shown in the renewal of tenure-track appointments.

Each college, school, and department shall develop brief, general, written Criteria for Tenure and/or Promotion. **The criteria should be reviewed periodically by the unit, as deemed necessary, but no less frequently than once every five (5) years.** The criteria to be considered in appointments and promotions fall into three general categories: (1) performance in teaching, advising, and mentoring of students; (2) performance in research, scholarship, and creative activity; (3) performance of professional service to the university, the profession, or the community. The relative importance of these criteria may vary among different academic units, but each of the categories shall be considered in every decision. The criteria for appointment to a faculty rank or tenure shall be the same as for promotion to that rank (or for tenuring at the rank of ~~a~~**A**ssociate ~~p~~**P**rofessor), whether or not the individual is being considered for an administrative appointment. An academic unit's general Criteria for Tenure and/or Promotion must receive the approval of the next level administrator. Any exceptional ~~or unusual~~ arrangement~~s relating to~~ **that requires a modification of** criteria for tenure and/or promotion shall be specified in ~~writing at~~ **a written agreement from** the time of appointment **up to the third-year review for untenured candidates, or at any time following the award of tenure,** and

shall be approved by the faculty and administrator of the first-level unit, by the ~~d~~**D**ean of the school or college, and by the Provost.

Upon appointment, each new faculty member shall be given by his or her ~~c~~**C**hair or ~~d~~**D**ean a copy of the unit's Criteria for Tenure and/or Promotion and the ~~c~~**C**hair or ~~d~~**D**ean shall discuss the Criteria with the faculty member. Each faculty member shall be notified promptly in writing by his or her ~~c~~**C**hair or ~~d~~**D**ean of any changes in the unit's Criteria for Tenure and/or Promotion.

Decisions on promotion of tenured faculty members shall be based on the academic merit of the candidate as evaluated using the relevant Criteria. Decisions on the renewal of untenured appointments and on promotion decisions involving the granting of tenure shall be based on the academic merit of the candidate as evaluated using the relevant Criteria and on the academic needs of the department, school, college, and institution. Considerations relating to the present or future programmatic value of the candidate's particular field of expertise, or other larger institutional objectives, may be legitimately considered in the context of a tenure decision. In no case, however, may programmatic considerations affecting a particular candidate be changed following the first renewal of the faculty contract of that candidate. It is essential that academic units develop long-range projections of programmatic needs in order that decisions on tenure and tenure-track appointments and promotions to tenure ranks be made on a rational basis.

A.   Teaching and Advisement

Superior teaching and academic advisement at all instructional levels (or reasonable promise thereof in the case of initial appointments) are essential criteria in appointment and promotion. Every effort shall be made to recognize and emphasize excellence in teaching and advisement. The general test to be applied is that the faculty member be engaged regularly and effectively in teaching and advisement activities of high quality and significance.

The responsibility for the evaluation of teaching performance rests on the academic unit of the faculty member. Each academic unit shall develop and disseminate the criteria to be used in the evaluation of the teaching performance of its members. The evaluation ~~should normally~~ **must** include opinions of students**,** ~~and~~ colleagues**, and the materials contained in the teaching portfolio**.

B.   Research, Scholarship, and Artistic Creativity

Research, scholarship and artistic creativity are among the primary functions of the university. A faculty member's contributions will vary from one academic or professional field to another, but the general test to be applied is that the faculty member be engaged continually and effectively in creative activities of distinction. Each academic unit shall develop and disseminate the criteria for evaluating scholarly and creative activity in that unit.

Scholarship, research, and creative activities include the discovery, integration, transmission and engagement of knowledge through systematic inquiry that advances specific fields/disciplines and contributes to the public good.

Scholarship includes original contributions to relevant disciplines, and may include newer forms such as engaged scholarship, public scholarship, entrepreneurial projects, and interdisciplinary research, regardless of the medium of publication or execution. Scholarship may also include work in fields that are not yet fully formed, such as attention to populations that have not been previously investigated or previously unexplored phenomena. For all scholarship, research and creative activities, the work must call upon the faculty member's academic and/or professional expertise, and will be evaluated based on the unit's criteria for excellence, including: peer review, impact, and significance and/or innovation.

Research or other activity of a classified or proprietary nature shall not be considered in weighing an individual's case for appointment or promotion.

C.   Service

In addition to a demonstrated excellence in teaching and in research, scholarship and artistic creativity, a candidate for promotion should have established a commitment to the University and the profession through participation in service activities. Such participation may take several different forms: service to the university; to the profession and higher education; and to the community, school systems, and governmental agencies. Service activity is expected of the faculty member, but service shall not substitute for teaching and advisement or for achievement in research, scholarship, or artistic creativity. Service activity shall not be expected or required of junior faculty to the point that it interferes with the development of their teaching and research.

III.   APPOINTMENT OF FACULTY

A.   Search Process

1.   Recruitment of faculty shall be governed by written search procedures, which shall anticipate and describe the manner in which new professorial faculty members will be recruited, including arrangements for interinstitutional appointments, interdepartmental appointments, and appointments in new academic units.

2.   Search procedures shall reflect the commitment of the University to ~~equal opportunity and affirmative action~~ **equity, inclusion, and fairness**. Campus procedures shall be widely disseminated and published in the Faculty Handbook.

3. Faculty review committees are an essential part of the review and recommendation process for new full-time faculty appointments. The procedures, which lead to new faculty appointments, should hold to standards at least as rigorous as those that pertain to promotions to the same rank.

B. Offers of Appointment

1. An offer of appointment can be made only with the approval of the President or his or her designee. Full-time appointments to the rank of Associate Professor or Professor require the written approval of the President.

2. All faculty appointments are made to a designated rank effective on a specific date. A standard letter of appointment shall be developed for each rank and tenure status and shall be approved by the Office of the Attorney General for form and legal sufficiency. The University shall publish in a designated section of the Faculty Handbook all duly approved System and University policies and procedures which set forth faculty rights and responsibilities. Subject to the provisions of paragraphs I.C.~~15~~**14** and I.C.~~17~~**16** of the System Policy on Appointment, Rank, and Tenure of Faculty and paragraph III.C of this document, the terms described in the letter of appointment, together with the policies reproduced in the designated portions of the Faculty Handbook, shall constitute a contractually binding agreement between the University and the appointee.

C. Provisions Related to Appointments, Promotion, and Tenure

The following provisions are adapted from the System Policy on Appointments, Rank, and Tenure to reflect the mission of the University of Maryland at College Park and are to be furnished to all new faculty at the time of initial appointment.

1. **For tenure-track appointments, the year in which the appointee is entitled to tenure review under this policy ("mandatory tenure-review year") shall be specified in the original and subsequent contracts/letters of appointment. Tenure review shall occur in that year unless extended according to University policy granting a tenure delay or otherwise agreed to in writing by the institution and the appointee. Tenure in any rank can be awarded only by an affirmative decision based upon a formal review.** ~~Adjustments in salary or advancement in rank may be made under these policies, and, except where a definite termination date is a condition of appointment, the conditions pertaining to the rank as modified shall become effective as of the date of the modification.~~

2. Subject to any special conditions specified in the letter of appointment, full-time appointments to the rank of Assistant Professor shall be for an initial term of one to three years. The first year of the initial appointment shall be a

probationary year, and the appointment may be terminated at the end of that fiscal year if the appointee is so notified by March 1. In the event that the initial appointment is for two years, the appointment may be terminated if the appointee is so notified by December 15 of the second year. After the second year of the initial appointment, the appointee shall be given one full year's notice if it is the intention of the University not to renew the appointment. If the appointee does not receive timely notification of nonrenewal, the initial appointment shall be extended for one additional year. An initial appointment may be renewed for an additional one, two, or three years. Except as set forth in paragraph III.C.3 below, an appointment to any term beyond the initial appointment shall terminate at the conclusion of that additional term unless the appointee is notified in writing that it is to be renewed for another term allowable under University System policies or the appointee is granted tenure. Such appointments may be terminated at any time in accordance with paragraphs III.C.~~5~~**6**-~~11~~**10**.

3. An Assistant Professor whose appointment is extended to a full six years shall receive a formal review for tenure in the sixth year. (An ~~a~~**A**ssistant ~~p~~**P**rofessor may receive a formal review for tenure and be granted tenure earlier (cf. IV.A.4.)~~.~~ The appointee shall be notified in writing, by the end of the appointment year in which the review was conducted, of the decision to grant or deny tenure. Notwithstanding anything in paragraph III.C.2 to the contrary, a full-time appointee who has completed six consecutive years of service at the University as an Assistant Professor, and who has been notified that tenure has been denied, shall be granted an additional and terminal one year appointment in that rank, but, barring exceptional circumstances, shall receive no further consideration for tenure. In the event that an Assistant Professor in his or her sixth year of service is not affirmatively awarded tenure by the President or otherwise notified of a tenure decision, then he or she shall be granted a one-year terminal appointment.

4. Full-time appointments or promotions to the rank of Associate Professor or Professor require the written approval of the President. Promotions to the rank of Associate Professor or Professor carry immediate tenure. New full-time appointments to the rank of Professor carry immediate tenure. New full-time appointments to the rank of Associate Professor may carry tenure. If immediate tenure is not offered, such appointments shall be for an initial period of up to four years and shall terminate at the end of that period unless the appointee is notified in writing that he or she has been granted tenure. An Associate Professor who is appointed without tenure shall receive a formal review for tenure. No later than one year prior to the expiration of the appointment, the formal review must be completed, and written notice must be given that tenure

has been granted or denied. Appointments carrying tenure may be terminated at any time as described under paragraphs III.C.~~5~~**6**-10~~1~~.

5.   A term of service may be terminated by the appointee by resignation, but it is expressly agreed that no resignation shall become effective until the termination of the appointment period in which the resignation is offered except by mutual agreement between the appointee and the President or designee.

  a. The President may terminate the appointment of a tenured or tenure-track appointee for moral turpitude, professional or scholarly misconduct, incompetence, or willful neglect of duty, provided that the charges be stated in writing, that the appointee be furnished a copy thereof, and that the appointee be given an opportunity prior to such termination to request a hearing by an impartial hearing officer appointed by the President or a duly appointed faculty board of review. With the consent of the President, the appointee may elect a hearing by the President rather than by a hearing officer or a faculty board of review. Upon receipt of notice of termination, the appointee shall have thirty (30) calendar days to request a hearing. The hearing shall be held no sooner than thirty (30) calendar days after receipt of such a request. The date of the hearing shall be set by mutual agreement of the appointee and the hearing officer or faculty board of review. If a hearing officer or a faculty board of review is appointed, the hearing officer or board shall make a recommendation to the President for action to be taken. The recommendation shall be based only on the evidence of record in the proceeding. Either party to the hearing may request an opportunity for oral argument before the President prior to action on the recommendation. If the President does not accept the recommendation of the hearing officer or board of review, the reasons shall be communicated promptly in writing to the appointee and the hearing officer or board. In the event that the President elects to terminate the appointment, the appointee may appeal to the Board of Regents, which shall render a final decision.

  b. Under exceptional circumstances and following consultation with the ~~c~~**C**hair of the faculty board of review or appropriate faculty committee, the President may direct that the appointee be relieved of some or all of his or her University duties, without loss of compensation and without prejudice, pending a final decision in the termination proceedings. (In case of emergency involving threat to life, the President may act to suspend temporarily prior to consultation.)

c. The appointee may elect to be represented by counsel of his or her choice throughout the termination proceedings.

6. If an appointment is terminated in the manner prescribed in paragraph III.C.~~6~~**7**, the President may, at his or her discretion, relieve the appointee of assigned duties immediately or allow the appointee to continue in the position for a specified period of time. The appointee's compensation shall continue for a period of one year commencing on the date on which the appointee receives notice of termination. A faculty member whose appointment is terminated for cause involving moral turpitude or professional or scholarly misconduct shall receive no notice or further compensation beyond the date of final action by the President or Board of Regents.

7. The University may terminate any appointment because of the discontinuance of the department, program, school or unit in which the appointment was made; or because of the lack of appropriations or other funds with which to support the appointment. Such decisions must be made in accordance with written University policies. The President shall give a full-time appointee holding tenure notice of such termination at least one year before the date on which the appointment is terminated.

8. Notwithstanding any provisions to the contrary, the appointment of any untenured faculty member, fifty percent or more of whose compensation is derived from research contracts, service contracts, gifts or grants, shall be subject to termination upon expiration of the research funds, service contract income, gifts or grants from which the compensation is payable.

9. Appointments shall terminate upon the death of the appointee. Upon termination for this cause, the University shall pay to the estate of the appointee all of the accumulated and unpaid earnings of the appointee plus compensation for accumulated unused annual leave.

10. If, in the judgment of the appointee's ~~d~~**D**epartment ~~c~~**C**hair or supervisor, a deficiency in the appointee's professional conduct or performance exists that does not warrant dismissal or suspension, a moderate sanction such as a formal warning or censure may be imposed, provided that the appointee is first afforded an opportunity to contest the action through the established faculty grievance procedure.

11. Unless the appointee agrees otherwise, any changes that are hereafter made in paragraphs III.C.1-~~12~~**10** will be applied only to subsequent appointments.

12. Compensation for appointments under these policies is subject to modification in the event of reduction in State appropriations or in other income from which compensation may be paid.

13. The appointee shall be subject to all applicable policies and procedures duly adopted or amended from time to time by the University or the University System, including, but not limited to, policies and procedures regarding annual leave; sick leave; sabbatical leave; leave of absence; outside employment; patents and copyrights; scholarly and professional misconduct; retirement; reduction, consolidation or discontinuation of programs; and criteria on teaching, scholarship, and service.

D.   Provisions Relating to Formal Promotion and Tenure Reviews

1. Reviews for promotion and tenure shall be conducted according to the duly adopted written policies and procedures of the University. These procedures shall be published in the Faculty Handbook.

2. Faculty review committees are a part of the review process at each level.

3. Each review by a faculty committee and each review by the administrator of an academic unit (cChair or dDean) shall be focused on the evaluation of the candidate using the Criteria for Tenure and/or Promotion of that unit. Each review shall be based on materials that must include the candidate's c.v., the candidate's Personal Statement, the Summary Statement of Professional Achievements, the Candidate's Response to the Summary Statement of Professional Achievements (if one is written), the letters from external evaluators, and the other prescribed elements in the University Appointment, Promotion and Tenure Procedures Manual. At the second and third levels of review, these promotion materials include the **APT Review** promotion cCommittee reports and the letters from academic unit administrators.

4. A faculty member eligible to vote on the promotion recommendation on a candidate of an academic unit may not participate in a review of that candidate or vote on that candidate at a higher level of review. Because they provide an independent evaluation, dDepartment cChairs, aAcademic dDeans, and the Provost are ineligible to vote at any level.

5. Candidates shall have the right to appeal negative promotion and tenure decisions on grounds specified in the policies and procedures of paragraph V.B.

IV.   PROMOTION, TENURE, AND EMERITUS REVIEW

The Provost shall develop detailed written procedures, implementing the University and the System policies on appointment, promotion, and tenure. This set of procedures shall be known

as the University's Implementation of the University Appointment, Promotion and Tenure Policy and these procedures shall govern the University's decision-making. The procedures developed shall be subject to review and approval by the University Senate. The Provost shall also develop useful guidelines, suggestions, and advice for candidates for tenure and/or promotion and for academic units responsible for carrying out reviews of candidate**s, stressing the importance of a fair, unbiased, and impartial evaluation**. Each year the Provost shall publish the University Appointment, Promotion and Tenure ~~Procedures~~ Manual. This manual shall contain the entire text of the University's Appointment, Promotion and Tenure Policy **and Procedures**, the University's implementation ~~of this policy~~ **procedures**, and the guidelines, suggestions, and advice for candidates and for academic units. The University's ~~Implementation~~ **APT Manual** should contain the University's required procedures clearly identified as such. All guidelines, suggestions, and advice in the Manual must be so labeled and distinguished from the required procedures.

Each college, school, and department shall develop detailed written procedures implementing the University and System policies on appointment, promotion, and tenure and the University's implementation of the University's Policy. The procedures of each academic unit shall be subject to review and approval by the policy-setting faculty body of the college or school for an academic unit in a departmentalized college or school, as established in its plan of organization, by the ~~d~~**D**ean, and by the University Senate.

The University's required procedures and the required procedures of each academic unit to which a candidate belongs shall apply to promotion and tenure decisions for all full-time faculty and for academic administrators who hold faculty rank, or who would hold faculty rank if appointed.

The Provost has the responsibility for systematically monitoring the fair and timely compliance of all academic units with the approved procedures of this Appointment, Tenure and Promotion Policy and for the prompt remedying of any failure to fulfill a provision of this Policy that occurs prior to the institution of a formal tenure and/or promotion review. A violation of procedural due process during a formal review for tenure and/or promotion is subject to the provisions of Section V, The Appeals Process.

At the time of appointment, each new faculty member shall be provided by the ~~c~~**C**hair or ~~d~~**D**ean of the first-level unit with a copy of the University's Appointment, Promotion and Tenure Procedures Manual and the procedures for the lower-level academic units to which he or she belongs and the ~~c~~**C**hair or ~~d~~**D**ean shall discuss the procedures with the faculty member. Faculty members should stay up to date on these procedures and academic units should keep their faculty members informed of any changes.

Faculty review committees shall be an essential part of the review and recommendation process for all full-time faculty. Review committees and administrators at all levels shall impose the highest standards of quality, shall ensure that all candidates receive fair and impartial

treatment, and shall be responsible for maintaining the integrity and the confidentiality of the review and recommendation process.

Candidates for tenure and/or promotion are responsible for providing their academic unit with an accurate *curriculum vitae* detailing their academic and professional achievements. Candidates holding faculty rank at the University shall also make a written Personal Statement advocating their case for tenure and/or promotion based on the facts in their *c.v.*, on the applicable Criteria for Tenure and/or Promotion, and on their perspective of those achievements in the context of their discipline. Both the *c.v.* and the Personal Statement shall be presented in the form required by the University Appointment, Promotion and Tenure Procedures Manual at the beginning of the academic year in which a formal review for tenure and/or promotion will occur. These two documents shall be included with each request for external evaluation and shall be included in the promotion dossier reviewed at each level within the University. Within the University review system, units and administrators may express their judgments on the contents and on the significance of elements in either of the candidate's documents. Units may only ask in neutral language for external evaluators to comment on elements of these documents as part of their review but not suggest conclusions.

Candidates must submit a teaching portfolio to the first-level APT Review Committee to be included in the review process.

The burden of evaluating the qualifications and suitability of the candidate for tenure and promotion is greatest at the first level of review. Great weight shall be given at the higher levels of review to the judgments and recommendations of lower-level review committees and to the principle of peer review.

The decision whether or not to award tenure or promotion shall be based primarily on the candidate's record of accomplishment in each of the three areas of teaching and advisement, research, and service, and the anticipated level of future achievements as indicated by accomplishments to date. Considerations relating to the present or future programmatic value of the candidate's particular field of expertise, or other larger institutional objectives, may legitimately be considered in the context of a tenure decision; but in no case shall the year of the tenure review be the first occasion on which these considerations are raised. The faculty and the unit cChair or dDean are responsible for advising untenured faculty on any and all programmatic considerations relative to the tenure decision, conveying such information to the candidate at the earliest opportunity during annual assessments of progress towards tenure.

When the President has completed his or her review of the tenure or promotion case and informed the candidate of the decision, the list of members of the unit, college, and campus committees shall be made public.

A.   <u>First-level Review</u>

1. <u>Eligible Voters</u>: At the first-level unit of review, the review committee shall consist of all members of the faculty of that unit who are eligible to vote. To be eligible to vote within the first-level unit, the faculty member must hold a tenured appointment in the university and must be at or above the rank to which the candidate seeks appointment or promotion. Tenured faculty voting on promotions cases at the first-level of review may only do so in a single academic department or non-departmentalized school, and may only vote in units in which they have a regular appointment and where this is permitted by the unit's plan of organization. In those cases where a faculty member has the opportunity to vote in more than one department or non-departmentalized school, the faculty member votes in that department/school in which the faculty member holds tenure.

   In those cases where a faculty member has the opportunity to vote at more than one level of review, the faculty member votes at the first level of review at which the faculty member has the opportunity to vote. There are two exceptions: (a) ~~c~~**C**hairs or ~~d~~**D**eans are excluded from voting as faculty in their first level unit; (b) if there are fewer than three (3) eligible faculty members in the first-level unit, the ~~d~~**D**ean at his/her discretion shall appoint one or more eligible faculty members from related units as voting members of the first-level review committee, to ensure that the review committee shall contain at least three (3) persons. Consequently, in promotion and tenure cases of faculty with joint appointments, faculty appointed by the ~~d~~**D**ean to the first-level review committee of the primary unit, who are also members of a secondary unit providing input on a candidate, are permitted to vote on the candidate only in the primary unit where they have been appointed as member of the review committee by the Dean.

   Although they do not have voting privileges, other faculty and the head of the first-level unit may be invited to participate in discussion about the candidate if the plan of organization and the bylaws of the unit permit.

   <u>Advisory Subcommittee</u>: The first-level unit review committee may establish an ~~a~~**A**dvisory ~~s~~**S**ubcommittee to gather material and make recommendations, but the vote of the entire eligible faculty of the first-level unit shall be considered the faculty recommendation of the first-level unit.

   <u>Conduct of the Review</u>: The first-level review committee shall appoint an eligible member of the faculty from the first-level unit to serve as ~~c~~**C**hair and spokesperson for the candidate's review committee. The ~~c~~**C**hair of the review committee is responsible for **ensuring that the discussion and evaluation of the candidate is fair, unbiased, and impartial,** writing the recommendation on the candidate and recording the transactions at the review meeting. Under no

circumstances may the ~~c~~**C**hair of the unit or ~~d~~**D**ean serve as spokesperson for the first–level unit review committee or write its report.

As the first-level administrator, the ~~c~~**C**hair or ~~d~~**D**ean shall submit a recommendation separately; the recommendation of the ~~c~~**C**hair or ~~d~~**D**ean shall be considered together with all other relevant materials by any reviewing committee at a higher level. Requests for information from higher level review units shall be transmitted to both the ~~c~~**C**hair of the first-level unit review committee and the first-level unit administrator.

<u>Joint Appointments</u>: Faculty members with joint appointments hold both a primary appointment (in their tenure home) and one or more secondary appointments (in the unit or units that are not their tenure home). When a joint appointment candidate is reviewed for appointment, promotion and/or tenure, the primary appointment unit is responsible for making the recommendation after first obtaining advisory input from the (one or more) secondary units, as appropriate. The advisory input from secondary unit(s) will be as follows:

• If the candidate holds a temporary appointment in the secondary unit, then the secondary unit's advice to the primary unit shall consist solely of a written recommendation by the ~~c~~**C**hair or director of the secondary unit.

• If the candidate holds a permanent appointment in a secondary unit that is neither an academic department nor a non-departmentalized school, then the director's recommendation will be informed by advice from the faculty in the unit who are at or above the rank to which the candidate aspires. That advice shall be in a format consistent with the unit's plan of organization. If the plan of organization includes a vote, the vote may not include those eligible to vote elsewhere on the candidate.

• If the candidate holds a permanent appointment in a secondary unit that is either an academic department or a non-departmentalized school, then there shall be both a vote of the faculty in the unit who are at or above the rank to which the candidate aspires and a written recommendation by the head of that unit. The restriction on multiple faculty votes continues to apply in this instance.

The secondary unit's review of the candidate shall be provided to the first-level unit review committee and the first-level administrator. If the ~~c~~**C**hair /~~d~~**D**irector of the secondary unit is also a member of the candidate's primary unit, the

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cChair /dDirector may participate in the deliberations of the primary unit, but may not vote on the candidate's promotion in that unit.

2. The committee shall solicit letters of evaluation from six or more widely recognized authorities in the field, chosen from a list that shall include individuals nominated by the candidate. At least three letters and at most one-half of the requested letters shall be from persons nominated by the candidate.

3. Each first-level unit shall **will** provide for the mentoring of each aAssistant pProfessor and of each untenured aAssociate pProfessor by one or more members of the senior faculty other than the cChair or dDean of the unit. **Each unit will have a mentoring plan that is filed with the Office of the Associate Provost for Faculty Affairs. Mentoring should be done systematically and provide for a formal meeting at least annually for tenure-track faculty, until the tenure review is completed. In addition, each unit will offer mentoring by one or more members of the senior faculty to each Associate Professor**. Mentors should encourage, support, and assist these faculty members and be available for consultation on matters of professional development. Mentors also need to be frank and honest about the progress toward fulfilling the criteria for tenure and/or promotion. Following appropriate consultations with members of the unit's faculty, the cChair or dDean of the unit shall independently provide each aAssistant pProfessor and each untenured aAssociate pProfessor annually with an informal assessment of his or her progress. Favorable informal assessments and positive comments by mentors are purely advisory to the faculty member and do not guarantee a favorable tenure and/or promotion decision.

    The first-level academic unit shall perform a formal intermediate review of the progress towards meeting the criteria for tenure and promotion in the third year of an aAssistant pProfessor's appointment. The first-level academic unit shall perform a formal intermediate review of the progress towards meeting the criteria for promotion to the rank of professor in the fifth year of a tenured aAssociate pProfessor's appointment and every five years thereafter. An aAssociate pProfessor may request an intermediate review earlier than the five years specified. The purposes of these intermediate reviews are to assess the candidate's progress toward promotion, to inform the reviewed faculty member of that assessment, to inform the faculty members more senior to that faculty member who will eventually consider him or her for promotion of that assessment, and to advise the candidate and the first-level administrator of steps that should be taken to improve prospects for promotion. These intermediate reviews shall be structured in a similar fashion to reviews for tenure and/or promotion according to the unit's plan of governance but normally **should include formal evaluations of a candidate's progress and**

record in the areas of research, teaching, and service and will **generally** not involve external **evaluators** ~~evaluations of the faculty member~~. If it is deemed necessary to obtain informal external evaluations, the academic unit must adopt written procedures applying this requirement to all intermediate reviews and these procedures must be approved by the academic administrator (~~d~~**D**ean or ~~p~~**P**rovost) at the next level of review. **Copies of the review letter will be provided to the candidate and filed in the office of the next-level administrator.**

Any change in the nature of the institution's or the unit's programmatic needs which may have a bearing on the candidate's prospects for tenure should be brought to the attention of the candidate at the earliest possible time. In addition, first-level units shall make the best possible effort to advise tenure-track faculty of the prevailing standards of quality and of the most effective ways to demonstrate that they meet the standards. The advice and assessments provided to untenured candidates should avoid simplistic quantitative guidelines and should not suggest or imply that tenure decisions will be based on the quantity of effort or scholarly activity, independently of its intellectual quality.

4. A tenure-track or tenured faculty member may request a formal review for tenure or promotion.

5. The tenure or promotion case shall go forward to the next level of review if fifty percent of the faculty vote cast is favorable (or such higher percentage as may be established by procedures or guidelines of the first-level unit) or if the recommendation of the administrator of the first-level unit is favorable. If both faculty and unit administrator recommendations are negative, the case shall be reviewed at the next level only by the ~~d~~**D**ean (or, in the case of a non-departmentalized school or college, the Provost). The ~~d~~**D**ean (or Provost) shall review the case to ensure that the candidate has received procedural and substantive due process, as defined in SectionV.B.1.b. If the ~~d~~**D**ean (or Provost) believes that the candidate has not received due process, he or she shall direct the unit to reconsider. The candidate may withdraw from his or her review at any time prior to the President's decision.

6. The first-level review committee shall prepare a concise Summary Statement of Professional Achievements on each candidate for tenure and/or promotion. The Summary Statement shall place the professional achievements of the candidate in scholarship, research, artistic performance, and/or Extension in the context of the broader discipline. It shall place the candidate's professional achievements in teaching and in service in the context of the responsibilities of the unit, the college or school, the University, and the greater community. The

Summary Statement shall be factual and objective, not evaluative. The Summary Statement**, Reputation of Publication Outlets, Student and Peer Evaluations of Teaching, and the Record of Mentoring/Advising/Research Supervision, unit criteria for tenure and/or promotion, agreement of modified criteria (if applicable), and a sample of the letter soliciting external evaluation** shall be reviewed by the candidate at least two weeks before the meeting at which the academic unit begins consideration of its recommendation on tenure and/or promotion. If the candidate and the committee cannot agree on the Summary Statement, the candidate has the right and the responsibility to submit a Response to the Summary Statement of Professional Achievements for the consideration of the voting members of the review committee and the academic unit must note the existence of the Response in the unit's Summary Statement. The purpose of the Summary Statement is to set the candidate's work in the context of the field for each level of review within the University and it is not to be sent to external evaluators or others outside the University.

7. The cChair of the first-level review committee shall prepare a written report stating the committee's vote and recommendation on whether or not to grant tenure or promotion, and explaining the basis for the faculty's recommendation insofar as that basis has been made known in the discussions taking place among the members of the committee. This letter will be provided to the cChair or dDean for his or her information and for forwarding to higher levels of review. Faculty participating in the unit's deliberation who wish to express a dissenting view are free to do so, and any such written statement shall be included in the materials sent forward to the next level of review.

8. The recommendation of the first-level administrator shall likewise be in writing. The administrator's recommendation shall be transmitted to the second-level review and shall be made available to all eligible members of the first-level faculty.

9. If a faculty member must be given a formal review for tenure in accordance with paragraph I.C.43 of the University of Maryland System Policy and paragraph III.C.3 of this policy, and the cChair or dDean of the first-level academic unit of which the appointee is a member fails to transmit, by the date specified in paragraph IV.F.2 of this policy, a tenure recommendation for the appointee, the Provost shall extend the deadline for the transmittal of such recommendations and instruct the first-level unit to forward recommendations and all supporting documents as expeditiously as possible.

B. Second-level Review

1. Second-level review of recommendations for promotion and tenure from departments shall be conducted within the appropriate college. The second-level review committees shall be established in conformity with the approved bylaws of the college. The ~~d~~**D**ean may be a non-voting ex-officio member but not a voting member of the committee. Each second-level committee shall elect its own ~~c~~**C**hair and an alternate ~~c~~**C**hair; the latter shall serve as ~~c~~**C**hair when a candidate from the ~~c~~**C**hair's own unit is under discussion. **The Chair of the College APT Committee is responsible for ensuring that the discussion and evaluation of the candidate is fair, unbiased, and impartial.** A committee member who is entitled to vote in a lower-level review of a candidate may be present for the discussion of that candidate but shall not participate in the discussion in any way and shall not vote on that candidate. The committee members must maintain absolute confidentiality in their consideration of cases. Outside of the committee meetings, members of the second-level review committee shall not discuss specific cases with anyone who is not a member of the second-level review committee. The membership of the committee shall be made public at the time of the committee's appointment. Every member of the campus community must respect the integrity of the appointment, tenure and promotion process and must refrain from attempting to discuss cases with committee members or to lobby them in any way.

2. Review of recommendations for promotion and tenure from non-departmentalized schools and colleges shall be conducted by the third-level review (see Section IV.C.1) committee.

3. Both the recommendation of the second-level committee and the recommendation of the second-level administrator shall go forward to be considered, together with all other relevant materials, at higher levels of review.

4. When significant questions arise regarding the recommendations from the first-level review or the contents of the dossier, the second-level review committee shall provide an opportunity for the ~~c~~**C**hair of the first-level academic unit and the designated spokesperson of the first-level unit review committee to meet with the second-level committee to discuss their recommendations; the committee shall provide them with a written list of the committee's general concerns about the candidate's case prior to the meeting. The second-level review committee may also request additional information from the first level of review by following the procedures described in Section F1 below.

5. Whether its recommendation is favorable or unfavorable, the committee shall, as soon as possible and no later than thirty (30) days after the decision, transmit through the ~~d~~**D**ean its decision, its vote, and a written justification to the

Provost. The ~~d~~**D**ean of the college shall also promptly transmit his or her recommendation with a written justification to the Provost.

C.   Third-level Review

1.   A third- or campus-level review committee shall be established in the following manner: The Provost shall appoint nine faculty members holding the rank of Professor, one from each of the eight large colleges (Agriculture and Natural Resources; Arts and Humanities; Behavioral and Social Sciences; Business; Computer, Mathematical, and Natural Sciences; Education; Engineering; School of Public Health) and one from among the four small colleges (Architecture, Planning, and Preservation; Information Studies; Journalism; Public Policy). Since this committee shall make its recommendations on the basis of whether or not the University's high standards for tenure and/or promotion have been met, members of this committee shall have a track record of outstanding academic judgment along with sufficient intellectual breadth and depth to be capable of comparing and judging candidates from varied disciplinary, cross-disciplinary, and professional backgrounds. No small college shall be represented on the committee more frequently than once in every three terms. Candidates for the committee shall be solicited from the Deans of the Colleges and Schools, from the Senate Executive Committee, and from the faculty at large. No one serving in a full-time administrative position may serve as a voting member of the committee. The Provost shall be a non-voting ex-officio member. A committee member who is entitled to vote in a lower-level review of a candidate shall not be present for the discussion of that candidate and shall not vote on that candidate. Appointments to the third-level review committee from the eight large colleges shall be for three years while the appointment from one of the four small colleges shall be for two years, with the terms staggered so that approximately one-third of the committee is replaced each year. No one may serve two consecutive terms. The third-level review committee shall elect its own ~~c~~**C**hair and alternate ~~c~~**C**hair. The committee members must maintain absolute confidentiality in their consideration of cases. Outside of the committee meetings, members of the third-level review committee shall not discuss specific cases with anyone who is not a member of the third-level review committee. The membership of the committee shall be made public at the time of the committee's appointment. Every member of the campus community must respect the integrity of the appointment, tenure and promotion process and must refrain from attempting to discuss cases with committee members or to lobby them in any way.

2.   When questions arise regarding the recommendations from either the first- or second-level reviews or the contents of the dossier, the third-level committee shall provide the opportunity for the first-level unit administrator, the

spokesperson for the first-level faculty review committee, the ~~d~~**D**ean of the college, and the ~~c~~**C**hair of the second-level review committee to meet with the third-level committee to discuss their recommendations; the committee shall provide them with a written list of the committee's general concerns about the candidate's case prior to the meeting. The third-level review committee may also request additional information from the first and second levels of review by following the procedures prescribed in Section F1 below.

3.   The committee shall promptly transmit its recommendation and a written justification through the Provost to the President, along with all materials provided from the lower levels of review. The Provost and the President shall confer about the case, and the Provost shall transmit his or her recommendation and a written justification to the President. If the Provost's recommendation differs from that of the third-level committee or from that of the Dean, the Provost will meet with the committee and/or the ~~d~~**D**ean to discuss the review. After the President has made a decision, a report on the decisions reached at the third level of review shall be provided to the second-level administrator and faculty committee ~~c~~**C**hair, the first-level administrator and faculty ~~c~~**C**hair, and to the candidate.

4.   The Third-level Review Committee and the Provost shall conduct an end-of-the-year review of appointment, promotion, and tenure. The Committee shall write a public Annual report, the purpose of which includes improving the understanding of faculty members and of academic units about appointments, promotion, and tenure. The report should include any recommendations for improvements in policy, procedures, or the carrying out of reviews of candidates. The Provost shall write a public report annually giving statistical information on the appointment, promotion, and tenure cases considered during the academic year.

D.   <u>Notification to Candidates for Tenure and/or Promotion</u>

Upon completion of the first-level **and second-level** review**s**, **respectively,** the unit administrator at ~~the first~~ **each** level shall within two weeks of the date of the decision: (1) inform the candidate whether the recommendations made by the ~~faculty~~ **APT Review** ~~c~~**C**ommittee and the unit administrator were positive or negative (including specific information on the number of faculty who voted for tenure and/or promotion, the number who voted against, and the number of abstentions), and (2) prepare for the candidate a letter summarizing in general terms the nature of the considerations on which those decisions were based. **In the case of new appointments, inclusion of the vote count is not required.** ~~At higher levels of review, summaries shall be provided to the candidate whenever either or both faculty and administrator recommendations are negative.~~ The ~~c~~**C**hair of the ~~faculty~~ **APT Review** ~~c~~**C**ommittee shall review the summary letter prepared by the unit administrator in order to ensure that it accurately

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summarizes the considerations regarded as relevant by the ~~faculty~~ **APT Review** ~~c~~**C**ommittee at that level. The ~~c~~**C**hair of the ~~faculty~~ **APT Review** ~~c~~**C**ommittee at each level shall be provided access to the unit administrator's letters to the candidate and to the next level of review in order to ensure that the summary accurately reflects the recommendation and rationale provided to higher levels of review. In addition, both letters shall be made available for review in the office of the ~~c~~**C**hair (~~d~~**D**ean ~~or Provost~~) by any member of the ~~faculty~~ **APT Review** ~~c~~**C**ommittee at that level. In the event that the ~~c~~**C**hair of the ~~faculty~~ **APT Review** ~~c~~**C**ommittee and the unit administrator are unable to agree on the appropriate language and contents of the summary letter, each shall write a summary letter to the candidate. A copy of all materials provided to the candidate shall be added to the tenure or promotion file as the case proceeds through higher levels of review.

E.   Presidential Review

Full-time appointments or promotions to the ranks of Associate Professor or Professor require the written approval of the President, in whom resides final authority for promotion and granting of tenure to faculty. Final authority for any appointment or promotion to the rank of Associate Professor or Professor cannot be delegated by the President.

F.   General Procedures Governing Promotion and Tenure

1.   With the exception of the third-level review committee, in their reviews of tenure and promotion recommendations from lower levels, upper-level administrators or review committees may not seek or use additional information from outside sources concerning a candidate's merits unless: (1) the materials forwarded from lower levels indicate the presence of a significant dissenting vote or divided recommendations from a lower level; (2) representatives from the first-level unit participate in the selection of additional persons to be consulted; and (3) the assessments received from these external sources are shared with and considered by the first-level review committee and by the unit's ~~c~~**C**hair or ~~d~~**D**ean; and (4) the review committee and the unit's academic administrator have the opportunity to reconsider their recommendations in the light of the augmented promotion dossier. The third-level review committee may seek additional information on any candidate as it chooses, although it must follow (2), (3) and (4) as described above. In doing so, the committee should ask the Provost to obtain the additional information from the Dean, who would then consult with the Department Chair to obtain faculty input. The evidential basis for upper-level committees and administrators should be restricted to the materials as assembled and evaluated by the first-level unit, with the exception of information obtained in compliance with the procedures just described. Candidates for tenure or promotion, however, are permitted to bring to the attention of the university administration any changes in their circumstances**,** which might have a significant bearing on the tenure or

promotion question. In the event that candidates for tenure or promotion bring information of this sort to the attention of upper-level committees or administrators after the first-level review has been concluded, these committees or administrators may take these changes into account in reaching their decisions and may elect to send the case back to the first-level for reconsideration.

2. The candidate's application and supporting materials, and the reports and recommendations of the first-level committee and administrator, shall be transmitted to the appropriate levels of secondary review no later than a date set annually by the Provost.

3. If an untenured faculty member requests leave without pay for a year or more, the ~~d~~**D**ean of the college in which the faculty member will be considered for tenure shall recommend whether or not the faculty member's mandatory tenure review will be delayed. A positive recommendation from the ~~d~~**D**ean to stop the tenure clock shall require evidence: (1) that the leave of absence will be in the interest of the University, and (2) that the faculty member's capacity to engage in continued professional activity will not be significantly impaired during the period of the leave. The ~~d~~**D**ean's recommendation shall be included in the proposal for leave submitted to the Provost. Delay of the mandatory tenure review requires the written approval of the Provost.

4. A faculty member who would otherwise receive a formal review for tenure may waive the review by requesting in writing that he or she not be considered for tenure. A faculty member who has waived a tenure review shall receive whatever terminal appointments he or she would have received if tenure had been denied. A faculty member at any rank who has been denied tenure and who is ineligible for further consideration shall receive an additional and terminal one-year appointment in that rank.

5. All recommendations for the appointment of faculty below the rank of Associate Professor shall be transmitted for approval through the various levels of review to the President or designee. Final authority for any appointment that confers tenure or for any appointment or promotion to the rank of Associate Professor or Professor cannot be delegated by the President.

6. After a negative decision by the President, candidates for promotion or tenure shall be notified by certified mail. Determination of the time limits for the period during which an appeal may be made shall be based on the date of the candidate's receipt of the President's letter.

G. Procedures Governing the Granting of Emerita/Emeritus Status

1. Associate Professors, Professors, Distinguished University Professors, Research Associate Professors, Research Professors, Senior Agents, Principal Agents, Librarians III, and Librarians IV who have been members of the faculty of the University of Maryland at College Park for ten or more years, and who give to their cChair or dDean proper written notice of their intention to retire, are eligible for nomination to emerita/emeritus status (see I.E.7 Emerita, Emeritus). Only in exceptional circumstances may Professors with fewer than ten years of service to the institution be recommended for emerita/emeritus status.

2. The decision whether or not to award emeritus standing shall be based primarily on the candidate's record of significant accomplishment in any of the three areas of (1) teaching and advisement, (2) research, scholarship, and creative activity, and (3) service.

3. If a faculty member gives notice of intention to retire before March 15, the first-level tenured faculty shall vote on emeritus standing within 45 days of the notice. If notice is given after March 15, the vote shall be taken no later than the 45th day of the following semester. The result of the vote shall be transmitted in writing to the candidate and to the administrator of the unit no later than ten days after the vote is taken. A faculty member who has not been informed of the decision concerning his or her emeritus standing within the time limits specified, shall be entitled to appeal the action as a negative decision in accordance with V.B.21.

4. The review committee of the first-level unit shall consist of all eligible members of the faculty. Eligible members of the faculty are all full-time tenured aAssociate and fFull pProfessors, as appropriate, excluding the cChair or dDean. The vote of the entire eligible faculty shall be considered the recommendation of the faculty. The cChair or dDean shall submit a recommendation separately; the recommendation of the cChair or dDean shall be considered together with all relevant materials by administrators at higher levels.

5. An emeritus case shall go forward to the next level of review if the department cChair 's recommendation is positive or the faculty vote is at least fifty percent favorable.

6. The cChair of the first-level committee shall prepare a written report, stating the committee's vote and recommendation on whether or not to award emeritus standing and explaining the basis for the faculty's recommendation insofar as that basis has been made known in the discussions taken place among the members of the committee. This letter will be forwarded to the cChair or dDean for his or her information and for forwarding to higher levels of review. Faculty participating in the unit's deliberations who wish to express a dissenting

view are free to do so, and any such written statement shall be included in the materials sent forward to the next level of review.

7. The recommendation of the first-level administrator shall also be in writing. The administrator's recommendation shall be transmitted to the second-level of review and a copy shall be made available for review by any member of the faculty participating in the unit's review deliberations.

8. Second-level review of recommendations of emeritus standing shall be conducted by the appropriate dDean. Second-level reviews of recommendations from non-departmentalized schools and colleges shall be conducted by the Provost. The second-level recommendation of the dDean or the Provost, together with all other relevant materials, shall be transmitted to the President.

9. The President shall make the final decision on the award of emeritus standing.

10. Faculty members with ten or more years of service to the University who retired prior to the effective date of this policy and who have not been granted emeritus standing may apply to their departments for consideration as in Section IV.G.1.

H. <u>Termination of Faculty Appointments for Cause</u>

If a tenured or tenure-track faculty member whose appointment the campus administration seeks to terminate for cause requests a hearing by a hearing officer, the hearing officer shall be appointed by the President from a college or school other than that of the appointee, with the advice and consent of the faculty members of the Executive Committee of the Campus Senate. If the appointee requests a hearing by a faculty board of review, members of the board of review shall be appointed by the faculty members of the Executive Committee of the Campus Senate from among tenured Professors not involved in administrative duties.

V. THE APPEALS PROCESS

A. <u>Appeals Committees</u>

1. The President shall appoint an appeals committee. This committee shall consist of nine faculty members holding the rank of Professor, one from each of the eight large colleges (Agriculture and Natural Resources; Arts and Humanities; Behavioral and Social Sciences; Business; Computer, Mathematical, and Natural Sciences; Education; Engineering; School of Public Health) and one from among the four small colleges (Architecture, Planning, and Preservation; Information Studies; Journalism; Public Policy). No small college shall be represented on the committee more frequently than once in every three terms. Candidates for the

committee shall be solicited from the Deans of the Colleges and Schools, from the Senate Executive Committee, and from the faculty at large. No one serving in a full-time administrative position and no one who has participated in the promotion and tenure review process of the appellant shall serve on the campus appeals committee. Appointment to the campus appeals committee shall be for one year, and no one may serve two consecutive terms. Appeals committees shall elect their own chairs. The committee members must maintain absolute confidentiality in their consideration of cases.

2. Special appeals committees at the college, school or campus level shall be appointed by the dDean, Provost or President in a manner consistent with the policies, bylaws, or practice of the respective unit.

B. Guidelines and Procedures for Appeals

1. Negative Promotion and/or Tenure Decisions

    a. Mandatory and Non-Mandatory Reviews

    When a candidate for promotion and/or tenure receives notification from the President, dDean or cChair that promotion or tenure was not awarded, the candidate may appeal the decision by requesting that the President submit the matter to the Campus Appeals Committee for consideration. The request shall be in writing and be made within sixty (60) days of notification of the negative decision. If the request is granted, all papers to be filed in support of the appeal must be submitted to the Appeals Committee not later than one hundred and twenty (120) days after notification unless otherwise extended by the President because of circumstances reasonably beyond control of the candidate. In writing these appeals letters, the appellant should be aware that these letters serve as the evidentiary basis for investigations of the validity of the appeal and that, should the President accept the request and refer the appeal to the Campus Appeals Committee, these letters shall be shared by the Campus Appeals Committee with the parties against whom allegations are made and any other persons deemed necessary by the Committee for a determination of the issues.

    b. Grounds for Appeal

    The grounds for appeal of a negative promotion and tenure decision shall be limited to (1) violation of procedural due process, and/or (2) violation of substantive due process.

A decision may not be appealed on the ground that a different review committee, department cChair, dDean or Provost exercising sound academic judgment might, or would, have come to a different conclusion. An appeals committee will not substitute its academic judgment for the judgment of those in the review process.

Violation of procedural due process means that the decision was negatively influenced by a failure during the formal review for tenure and/or promotion by those in the review process to take a procedural step or to fulfill a procedural requirement established in relevant promotion and tenure review procedures of a department, school, college, campus or system. Procedural violations occurring prior to the review process are not a basis for an appeal and are dealt with under the provisions of paragraph 4 of the introduction to Section IV, Promotion, Tenure, and Emeritus Review.

Violation of substantive due process means that: (1) the decision was based upon an illegal or constitutionally impermissible consideration; e.g. upon the candidate's gender, race, age, nationality, handicap, sexual orientation, or on the candidate's exercise of protected first amendment freedoms (e.g., freedom of speech); or (2) the decision was arbitrary or capricious, i.e., it was based on erroneous information or misinterpretation of information, or the decision was clearly inconsistent with the supporting materials.

c.   Standard of Proof

An appeal shall not be granted unless the alleged grounds for appeal are demonstrated by a preponderance of the evidence.

d.   Responsibilities and Powers of the Appeals Committee

1.   The appeals committee shall notify the relevant administrators and APT cChairs in writing of the grounds for the appeal and meet with them to discuss the issues.

2.   The appeals committee shall meet with the appellant to discuss and clarify the issues raised in the appeal.

3.   The appeals committee has investigative powers. The appeals committee may interview persons in the review process whom it believes to have information relevant to the appeal. Additionally, the Appeals Committee shall examine all documents related to the appellant's promotion or tenure

review and may have access to such other departmental and college materials as it deems relevant to the case. Whenever the committee believes that a meeting could lead to a better understanding of the issues in the appeal, it shall meet with the appropriate party (with the appellant or with the relevant academic administrator and APT ~~c~~**C**hair).

4. The Appeals Committee shall prepare a written report for the President. The report shall be based upon the weight of evidence before it. It shall include findings with respect to the grounds alleged on appeal, and, where appropriate, recommendations for corrective action. Such remedy may include the return of the matter back to the stage of the review process at which the error was made and action to eliminate any harmful effects it may have had on the full and fair consideration of the case. No recommended remedy, however, may abrogate the principle of peer review.

5. The President shall attach great weight to the findings and recommendations of the committee. The decision of the President shall be final. The decision and the rationale shall be transmitted to the appellant, the ~~d~~**D**epartment ~~c~~**C**hair, ~~d~~**D**ean, ~~c~~**C**hair(s) of the relevant APT committee(s) and Provost in writing.

e. <u>Implementation of the President's Decision</u>

1. When the President supports the grounds for an appeal, the Provost has the responsibility for oversight of the implementation of the corrective actions the President requires to be taken. Within 30 days of receipt of the President's letter, the Provost shall request the administrator involved to formulate a plan and a timeline for implementing and monitoring the corrective actions. Within 30 days after receipt of this letter, the administrator must supply a written reply. The Provost may require modification of the plan before approving it.

2. The Provost shall appoint a Provost's Representative to participate in all stages of the implementation of the corrective actions specified in the approved plan for the re-review, including participation in the meeting or meetings at which the academic unit discusses, reviews, or votes on its

recommendation for tenure and/or promotion for the appellant. The Provost's Representative shall participate in these activities but does not have a vote. After the academic unit completes its review, the Provost's Representative shall prepare a report on all of the elements of corrective action specified in the approved plan and this report will be included with the complete dossier to be reviewed at higher levels within the University. The Provost's Representative shall be a senior member of the faculty with no previous or potential involvement at any level of review or appeal pertaining to the consideration of the appellant for tenure and/or promotion except for the participation as Provost's Representative as defined in this paragraph.

3. The Provost's request and the administrator's approved plan of implementation must be included in the dossier from the inception of the review. Re-reviews begin at the level of review at which the violation(s) of due process occurred and evaluate the person's record at the time the initial review occurred unless otherwise specified by the President. The administrator at the level at which the errors occurred, in addition to evaluating the candidate for promotion, must certify that each of the corrective actions has been taken and describe how the actions have been implemented. Re-reviews must proceed through all levels of evaluation including Presidential review. The Provost's review of the dossier will include an evaluation of compliance with the requirements imposed in the President's decision to grant the appeal. If the Provost discovers a serious failure by the unit to comply with the corrective actions required, the Provost shall formulate and implement a new plan for corrective action with respect to the appellant. In addition, the Provost shall inform (in writing) the administrator of the unit where the failure arose and the Provost shall take appropriate disciplinary action.

f. Extension of Contract

In the event that the appellant's contract of employment will have terminated before reconsideration can be completed, the appellant may request the President to extend the contract for one additional year beyond the date of its normal termination, with the understanding that the extension does not in itself produce a claim to tenure through length of service.

2. Decision Not to Review

   If a faculty member requests his or her first level academic unit to undertake a review for his or her promotion or early recommendation for tenure, and the academic unit decides not to undertake the review or fails to transmit a recommendation by the date announced for transmittals, as specified in IV.F.2, above, the faculty member may appeal to the ~~d~~**D**ean (if in a department) or to the Provost (if in a non-departmentalized school or college) requesting the formation of a special appeals committee to consider the matter. The request shall be made in writing. It shall be made promptly, and in no case later than thirty (30) days following written notification of the decision of the first-level academic unit.

   If the ~~d~~**D**ean or Provost determines not to form a special appeals committee, the faculty member may appeal to the Provost (if the decision was the ~~d~~**D**ean's) or to the President (if the decision was the Provost's) requesting formation of the special appeals committee. Request shall be made in writing. It shall be made promptly, and in no case no later than thirty (30) days following written notification of the decision of the ~~d~~**D**ean or Provost.

   The grounds for appeal and the burden of proof shall, in all instances, be the same as set forth in V.B.1.b and c, above. A committee shall not substitute its academic judgment for that of the first-level unit. The responsibility of a special appeals committee shall be to prepare findings and recommendations. The committee may, for example, recommend that the ~~d~~**D**ean or Provost extend the deadline for transmitting a recommendation and instruct the first-level unit to forward supporting documents as expeditiously as possible. A decision by a ~~d~~**D**ean or the Provost, upon receiving the findings and recommendations of a special appeals committee, shall be final. A decision by the President shall be final.

3. Decision Not to Renew

   When, prior to the mandatory promotion and tenure decision, an untenured tenure-track faculty member receives notification that his or her appointment will not be renewed by the first-level unit, he or she may appeal the decision in the manner described in V.B.1.a above.

4. Emeritus Standing

   An unsuccessful candidate for emeritus standing may appeal the decision in the manner described in Section V.B.1 above.

APPENDICES

University Senate
CHARGE

Date:	February 1, 2013
To:	Brad Hatfield
	Chair, Joint Provost/Senate APT Guidelines Task Force
From:	Mary Ann Rankin
	Senior Vice President & Provost
	Martha Nell Smith
	Chair, University Senate
Subject:	APT Guidelines
Senate Document #:	12-13-24
Deadline:	December 15, 2013

Provost Rankin and the Senate Executive Committee (SEC) request that the APT Guidelines Task Force conduct a broad review of the University of Maryland Guidelines for Appointment, Promotion, and Tenure (APT).

During the 2011-2012 academic year, the Senate Faculty Affairs Committee reviewed a proposal entitled, Reform of the University APT Procedures (Senate Doc. No. 11-12-03). Following an extensive review of the proposal and the current review process, the committee concluded that a broader review of the APT Procedures should be conducted and that a formal cycle be established to review the yearly updates recommended by the Council of Associate Deans for Faculty Affairs (CADFA). Specifically, the Task force is being asked to address the following:

1. Review the University of Maryland Guidelines for Appointment, Promotion, and Tenure (APT) (http://www.faculty.umd.edu/policies/).

2. Review the University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty II-1.00(A) as it relates to the APT Guidelines.

3. Consult with the Office of Faculty Affairs and representatives from CADFA to understand the current review/update process.

4. Review the standards used to select external evaluators.

5. Consider the elements and approaches used to evaluate candidates including: (a) the current process for requesting letters and evaluating letters and "non-responses" from external evaluators, plus (b) the evaluation of teaching and whether a teaching dossier is appropriate. The candidate notification process should be reviewed as well.

6. Consider how varying facets of scholarly activity such as innovation and entrepreneurship (including social entrepreneurship), application of intellectual property through technology transfer, interdisciplinary/collaborative research, and the application of research to solve existing problems in society, should be evaluated as part of the APT review process.

7. Consider the impact of new work-life balance policies and tenure delay on the APT review process, including ways in which presence of relevant practices should be deemed automatic.

8. Develop a regular review cycle and a process for subsequent reviews of the APT procedures and the APT Policy.

9. Review the APT Procedures used at our peer institutions including the construction of dossiers.

10. Consider developing a standard dossier format based on best practices at our peer institutions.

11. Consider how issues of diversity impact the equity of the APT process, for example, how faculty research on diversity issues or underserved populations can be evaluated fairly.

12. Consider methods for streamlining the entire APT process, but particularly so in the appointment of "star" senior appointments.

13. Consider how the APT Guidelines can be modified to encourage stronger, consistent, and more effective mentoring of junior faculty.

14. Please consult with the Office of Legal Affairs in developing your recommendations.

We ask that you submit your report and recommendations to the Senate Office no later than November 1, 2013. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.

Equity, Fairness, and Inclusion Subcommittee

(Members: Carmen Balthrop, Melanie Killen, Ellin Scholnick)

Background and Rationale

Reports from the Office of Faculty Affairs and ADVANCE as well as from other peer institutions (e.g., Mason, Wolfinger & Goulden, 2013; Valian, 1998) indicate that a proportion of women and members of underrepresented groups experience disadvantages leading to unfair or inequitable treatment during the appointment, promotion and tenure process. Multiple factors contribute to the lower recruitment, retention, and promotion rates for members of these groups, including implicit bias (prejudicial attitudes unbeknownst to an individual; see Dovidio, 2001), shifting standards (higher expectation for performance for members of one group than another group; Biernat & Manis, 1994), and hierarchical social structures (Eagly & Diekman, 2005). These factors often create inequities such as greater demands for university service from underrepresented groups (taking time away from scholarship) along with different expectations regarding criteria for scholarship. Many of these issues are taken up in other sections of the Task Force report, such as policy and procedural changes designed to more fully incorporate and evaluate interdisciplinary and engaged scholarship in the review process. This section focuses on the social factors. It changes the thrust of discussions of faculty diversity from affirmative action to inclusion, and from concerns about explicit prejudice, which has diminished dramatically over several decades, to more implicit and nuanced forms of bias that remain pervasive, and are often difficult to identify as well as regulate. Thus, our report is influenced by a robust body of literature on biases in judgments about the credentials of diverse groups (Dovidio, Hewstone, Glick, & Esses, 2010).

Guiding Principles

1. Providing a fair, equitable, inclusive, and just faculty environment is crucial for maintaining excellence at the University and is essential to the APT process.
2. Achieving equity and justice requires institutional changes aimed at reducing unfair hiring, promotion, and retention practices that result from implicit or explicit biases related solely to decisions based on categories such as gender, race, ethnicity, religion, nationality, sexuality, and similar group membership categories.
3. Creating inclusive practices include the development of criteria sensitive to the challenges facing scholars of diversity who often work in interdisciplinary fields, and/or participate in engaged scholarship with hard to reach populations and who encounter special teaching and service demands placed on faculty from underrepresented groups. It also involves raising awareness among evaluators of possible sources of biases and relevant components of the mentoring process.
4. Addressing the need for reducing bias and prejudice in the APT process has become especially urgent as the world has become increasingly global; topics of scholarship have been increasingly global, and our academic universities are composed of heterogeneous communities.

5. Drawing on the world's best academic students and faculty scholars to achieve excellence, the university is held back when our academic faculties do not reflect fairness in hiring, promotion, and retention processes and biases appear to increase with higher levels of achievement and recognition.

Relevant Language in University Documents

There is no relevant language in the APT Guidelines and Policies. There is relevant language in the Strategic Plan and in the ARHU Diversity Task Force Document, as indicated below.

University of Maryland Strategic Plan

1. Goal 2 in the Faculty and Staff Section of the strategic plan states that "The University of Maryland is committed to an inclusive community and will aggressively recruit outstanding and diverse individuals to our faculty, staff, and administrative ranks. We will promote a campus climate based on fairness, equity, and diversity in all our policies, procedures and activities (Transforming MD, p,35) As the Campus Diversity report "transforming Maryland: Expectations for Excellence in Diversity and Inclusion (p.18) notes "Excellence at the university depends on the recruitment and retention of outstanding faculty.."
2. Strategic plan: Faculty and Staff Goal 2: Strategy C. We will identify impediments to success and work to remove them. We will strengthen mentoring, develop community support groups and create more flexible administrative rules as needed in order to maintain a fully diverse community. (Transforming MD, P.35). The Diversity Report recommended that "The Office of the Provost, deans and chairs will develop mentoring, professional growth, and other retention initiatives… to reduce disparities in the retention rates of tenure-track and tenured faculty from diverse groups…Deans and department chairs will carefully evaluate campus service assignments, with a particular focus on women and minority faculty, and will ensure that they have time to successfully complete their teaching and research responsibilities required for promotion and tenure. (p.19).

ARHU Diversity Taskforce Report (Nov., 2013)

Goal 1 - To ensure policies and structures are in place at all levels of the University to support transformational leadership, recruitment, and inclusion efforts, and to institutionalize campus diversity goals. We will provide the leadership and infrastructure needed to create a more diverse and inclusive population in the College of Arts and Humanities.
Goal 2 - To foster a positive climate that promotes student success and encourages faculty and staff members to flourish. We will create a College climate in which diversity, inclusion and equity are valued and realized at both the College and Unit levels throughout the College of Arts and Humanities.
Goal 3 - To promote a vision across the University that fully appreciates diversity as a core value and educational benefit to be studied, cultivated, and embraced as a vital component of personal development and growth. We will diversify academic

programs by making diversity and inclusion intentional in teaching and learning across the curriculum of the College of Arts and Humanities. A key recommendation in the report (p.21) is that Unit heads should assume responsibility for ensuring that diversity inclusion and equity are active principles guiding programs, including curriculum, research and scholarship, outreach, professional development, hiring, recruitment and retention.

Best Practices from Peer Institutions

Penn State University:

Support and Mentoring: An annual pre-tenure symposium, "Equity and Inclusion: Successfully Navigating the Promotion and Tenure Process," sponsored by the President's equity. Plenary sessions and breakout discussion groups will address issues important to early tenure-line faculty from underrepresented groups, including women.

*A Framework to Foster Diversity at Penn State, 2010-*2015

After the implementation of the initial *Framework* in 1998, Penn State has made considerable strides toward building a truly diverse, inclusive, and equitable institution and in establishing an infrastructure to facilitate effective diversity planning, implementation, and reporting processes. Fostering diversity must be recognized as being at the heart of our institutional viability and vitality, a core value of the academic mission, and a priority of the institution. With this 2010-15 *Framework*, Penn State begins the next phase of achieving our diversity potential.

University of Illinois

A program of $10,000 initial research funding is provided as part of the recruitment package of faculty from underrepresented groups. The funding may be renewed for another 2 years.

Recommendations

Thus, reflecting on the importance of the topic for the APT process, this subcommittee identified the following areas for change:

1. Policies. Policies aimed at reducing bias in APT evaluations.
2. Guidelines. Areas in the guidelines that could more concretely provide guidance for promoting the importance and legitimacy of national, international, and interdisciplinary scientific scholarship conducted by academic scholars from a wide range of groups in terms of gender, race, ethnicity, and nationality. In addition, suggestions for enhancing the mentoring and inclusion of under-represented groups would be considered by the APT Task force subcommittee on mentorship.

APT Policy Revisions

Under PURPOSE OF THIS POLICY, following "…achievement of excellence in its academic disciplines."
Insert "A fair, equitable, and just appointment, tenure, and promotion process is essential to this goal."

II. Criteria- add underlined text and delete strikeout]
"Search, appointment, and promotion procedures shall be equitable, fair and inclusive, and comply with institutional policies including affirmative action guidelines that are and be widely publicized and published in the Faculty Handbook."

III.A.2. Search Process: [add underlined text]
"Search procedures shall reflect the commitment of the University to equal opportunity and affirmative action equity, inclusion, and fairness."

IV. PROMOTION, TENURE, AND EMERITUS REVIEW:
[add underlined text] "…The Provost shall also develop useful guidelines, suggestions and advice for academic units responsible for carrying out reviews of candidates the review process, stressing the importance of carrying out a fair, unbiased, and impartial evaluation.

IV.A.1. Conduct of the Review: [add underlined text]
"The chair of the review committee is responsible for ensuring that the discussion and evaluation of the candidate is fair, unbiased, and impartial and for writing the recommendation on the candidate and recording the transactions at the review meeting."

IV.B.1. Second-level Review [insert underlined text]
 "…the latter shall serve as chair when a candidate from the chair's own unit is under discussion." "The Chair of the College APT Committee is responsible for ensuring that the discussion and evaluation of the candidate is fair, unbiased, and impartial.

Guidelines Revisions

1. [Insert underlined text as new section at the beginning of the guidelines document].

> **EQUITY AND FAIRNESS IN THE REVIEW PROCESS**
> Proactive Procedure: To encourage a fair and equitable review process for the candidate, the Associate Provost for Faculty Affairs will send out a letter to all faculty review committees and administrators at each level reminding them of the importance of conducting a fair and unbiased evaluation. This letter will state that discussions should avoid disparaging or prejudicial comments. It will include an express admonition that the evaluation of the candidate may not be based on factors such as a candidate's sex, race, sexual orientation or other protected personal characteristics. In addition, the letter will stress that neither a candidate's part-time status nor any extension of the mandatory tenure review year authorized pursuant to policy may be held against them, and that such candidates shall be evaluated according to the same criteria applicable to other candidates. Chairs of the unit-level APT

review committees are to distribute the letter to the voting faculty at the inception of the review process. This letter shall be referenced prior to the evaluative meeting and when inappropriate discussions arise. In departmentalized Colleges, Associate Deans of Faculty Affairs and College Diversity Officers are encouraged to formally charge individual Department APT Review Committees prior to the review process, paying specific attention to equity-related issues. Additionally, the Associate Provost for Faculty Affairs and the Chief Diversity Officer will arrange to formally charge College APT Review Committees.

Promotion and tenure committee members shall be informed when a candidate stopped the tenure clock, or was on a part-time tenure clock and informed that these are university-supported policies. The focus of discussion and decision-making in APT review committees should be on the candidate's performance in meeting criteria set forth by the Department, College, and University, and not how long (e.g., an extra year) it took to meet those criteria. This recommendation applies to faculty being evaluated for tenure, as well as those with tenure being evaluated for promotion.

Procedures to Follow Observed Actions of Concern: Should faculty members of the APT Review Committee (as witnesses) believe that inappropriate comments have been made, such as disparaging remarks referencing tenure delay(s), part-time appointments, cultural background, group membership, and/or personality traits, they are encouraged to raise their concern during the meeting, citing the Administration's letter. That faculty member may also discuss the issue confidentially with the APT Review Committee Chair, or with the Associate Provost for Faculty Affairs.

2. Add an additional responsibility for the 1) APT Committee Chair, 2) Department Chair, 3) College APT Committee Chair, and 4) Dean:

…the responsibility of ensuring that discussion and evaluation of the candidate is fair, unbiased, and impartial.

Background and Rationale

The UM System policy now includes in its criteria for promotion and tenure "research, scholarship, and, in appropriate areas, creative activities or other activities that result in the generation and application of intellectual property through technology transfer." The charge to the Task Force asked that the Task Force "consider how varying facets of scholarly activity such as innovation and entrepreneurship (including social entrepreneurship), application of intellectual property through technology transfer, interdisciplinary/collaborative research, and the application of research to solve existing problems in society, should be evaluated as part of the APT review process." The Task Force decided to include a broader definition of scholarship that includes these, as well as other, facets of scholarly activity.

Guiding Principles

1. Recognition in the tenure process should be given to the broad range of entrepreneurial, public engagement, and creative activities in which faculty engage. These activities may enhance any of the criteria on which faculty are evaluated— teaching, service, and research, scholarship, and artistic creativity.
2. As with all other activities of teaching, service, and research, scholarship, and artistic creativity, there should be no intellectual compromises. These activities should be rigorously evaluated for high quality and distinction.
3. In order to enhance a case for tenure or promotion, such activities must:
   a. Call upon a faculty member's academic and/or professional expertise;
   b. Reflect the department's and the University's mission and objectives;
   c. Be evaluated based upon the unit's criteria for excellence, innovation, significance, and impact in the areas of teaching, service, and research, scholarship, and artistic creativity.
4. Entrepreneurial activity should in all instances be consistent with USM and UMD policies on conflict of interest and conflict of commitment.

Relevant language in University Documents:

1. Language in 2013-2014 APT Guidelines: none

2. Language in USM Policy: (http://www.president.umd.edu/policies/docs/II-100.pdf)

   II - 1.00   UNIVERSITY SYSTEM POLICY ON APPOINTMENT, RANK, AND TENURE OF FACULTY

   II.   FACULTY RANKS, PROMOTION, TENURE, AND PERMANENT STATUS

   B. CRITERIA AND PROCEDURES FOR PROMOTION AND TENURE
   1.   The criteria for tenure and promotion in the University of Maryland

System are: (1) teaching effectiveness, including student advising; (2) research, scholarship, and, in appropriate areas, creative activities or other activities that result in the generation and application of intellectual property through technology transfer; and (3) relevant service to the community, profession, and institution. The relative weight of these criteria will be determined by the mission of the institution.

2.   The activities considered to be within the criteria for promotion and tenure shall be flexible and expansive. The assessment of teaching, research/scholarship/creative activities, and service during the promotion and tenure process shall give appropriate recognition, consistent with the institution's mission, to faculty accomplishments that are collaborative, interdisciplinary, and inter-institutional and to faculty innovations in areas such as undergraduate education, minority-achievement programs, K-16 curriculum development, and technology-enhanced learning.

Best Practices from Peer Institutions

1. University of Michigan: a memo from the Provost (February 16, 2012) encourages that "full recognition in the tenure process be given to the broad range of entrepreneurial, outreach, and creative activities in which faculty engage. These activities may enhance any of the criteria on which faculty are measured—teaching, research, and service."

2. The University of Illinois at Urbana-Champaign (UIUC) and Arizona State University (ASU) consider entrepreneurship primarily as an enhancement to research in their promotion processes. In particular, UIUC encourages that research not be interpreted narrowly, and has produced a very useful *Faculty Guide for Relating Public Service to the Promotion and Tenure Review Process*. UIUC promotes an "inclusive view of scholarship."

3. The University of North Carolina, in a memo from the Provost and the report of a Task Force on Future Promotion Policies and Practices, refers to faculty engagement with the public, new forms of scholarly work, and work across disciplinary lines, as all being valued as scholarly work.

4. Texas A&M University has added "patents and commercialization of research" as an additional category on which faculty can be evaluated for tenure and promotion.

Recommendations

1. Members agreed that entrepreneurship and innovative activities could be used to enhance any of teaching, service, and research, scholarship, and artistic creativity.

2. There was a strong feeling that such activities should be judged based on the unit's usual criteria for excellence in the categories of teaching, research, and service.

3. There was a strong feeling that inclusion of such activities should respect the focus on excellence and integrity of the APT process.

4. The Task Force felt that it is important to include a broader definition of scholarship that embraces the range of scholarly activities of the faculty.

APT Policy Revisions

1. Add to the Policy, in Section II.B Research, Scholarship, and Artistic Creativity:

"Scholarship, research and creative activities includes the discovery, integration, transmission and engagement of knowledge through systematic inquiry that advances specific fields/disciplines and contributes to the public good.

Scholarship includes original contributions to relevant disciplines, and may include newer forms such as engaged scholarship, public scholarship, entrepreneurial projects, and interdisciplinary research, regardless of the medium of publication or execution. Scholarship may also include work in fields that are not yet fully formed, such as attention to populations that have not been previously investigated or previously unexplored phenomena. For all scholarship, research and creative activities, the work must call upon the faculty member's academic and/or professional expertise, and will be evaluated based on the unit's criteria for excellence, including: peer review, impact, and significance/Innovation."

Guidelines Revisions

1. Add the following to the section on Information for the Candidate (p.6), just before last sentence before the section on The Review Process:

The BOR APT Policy also provides that consideration may be given to "creative activities or other activities that result in the generation and application of intellectual property through technology transfer.(USM Policy on Appointment, Rank, and Tenure of Faculty, II.B.1) Recognition in the tenure process will be given to the broad range of entrepreneurial, public engagement, and creative activities in which faculty engage, which units may define in their criteria for tenure and promotion. These entrepreneurial and/or engaged scholarly activities must enhance one or more of the criteria on which faculty are evaluated (research, scholarship, and artistic creativity, teaching, and service) and should be consistent with the mission of the unit and scholarly expertise of the candidate. Professional activity that meets the evaluative criteria for research, scholarly or creative activity of peer review, impact, and significance. Colleges and Departments must have ~~written~~ explicit written ~~evaluative~~ criteria that should be rigorously evaluated for high quality, distinction, and impact

covering these dimensions of the process.

2. Add the following to the CV format (pp. 7-9):

   - Under Research, Scholarship, and Creative Activities, insert after the current #8:
     9. Entrepreneurial, Technology Transfer, and Public Engagement Activities

   - Change numbering of the current #9-12.

   - Under Teaching, Mentoring, and Advising, change the title of #8 to:
     8. Extension, Entrepreneurship, and Public Engagement Activities.

3. Add the following after the second sentence of the Personal Statement section (p. 10):

   It is incumbent on candidates to show that the work calls upon their academic and/or professional expertise, and to demonstrate the excellence of their work based on the unit's criteria for excellence, using evidence such as:

   - Peer review
   - Impact
   - Significance/Innovation

4. Add following language to section on "Statement of Professional Achievements" in Information for Faculty Administrators, page 21, after this sentence: "…and the candidate's professional achievements in service and teaching in the context of the responsibilities of the Department, the College, the University and the community."

   Entrepreneurial efforts leading to technology transfer and public engagement activities also may be considered in these contexts.

Report of the sub-committee on Interdisciplinary Research (IDR)

(Robert Chambers, Hassan Jawahery, KerryAnn O'Meara, Ellin Scholnick, Robert Schwab)

Background & Rationale

The focus of this subcommittee was on Interdisciplinary research (IDR). A National Academies study defines IDR as: "Interdisciplinary research (IDR) is a mode of research by teams or individuals that integrates information, data, techniques, tools, perspectives, concepts, and/or theories from two or more disciplines or bodies of specialized knowledge to advance fundamental understanding or to solve problems whose solutions are beyond the scope of a single discipline or area of research practice."

There is clear evidence that IDR has now become a common trend in research and scholarly work at universities, and various studies have called for improved support for these activities at academic institutions, government labs, and industry. The National Academies report (2004) (*Report of Committee on Facilitating Interdisciplinary Research, National Academy of Sciences, National Academy of Engineering, and Institute of Medicine: http://www.nap.edu/catalog.php?record_id=11153*) states:

"Interdisciplinary thinking is rapidly becoming an integral feature of research as a result of four powerful "drivers": the inherent complexity of nature and society, the desire to explore problems and questions that are not confined to a single discipline, the need to solve societal problems, and the power of new technologies."

The report also discussed some of the key impediments to success and advancement of individuals involved in interdisciplinary research, and recommended changes, albeit incremental, to the structure of educational institutions to facilitate these types of activities. These include changes to evaluation and promotion policies to improve conditions for IDR at universities. Numerous studies have also identified specific issues of concern to interdisciplinary researchers, including the evaluation and promotion guidelines. At UMD, a study by the ADVANCE project has produced important data on the distribution of IDR across the units on campus and among the academic ranks, and a Whitepaper on Strengthening the APT process for Interdisciplinary Scholars. These reports were of great value to this subcommittee's work, and we adopted many of their recommendations as discussed below.

Guiding Principles:

1. Interdisciplinary, non-traditional, or emerging research has in recent years become an important component of scholarly activities at UMD. The appointment and tenure process should recognize the special circumstances scholars working in these areas face.

2. For scholars involved in interdisciplinary, non-traditional, or emerging research who are hired in joint appointments between two or more units, the guidelines on joint appointments require revisions in some areas. These include:

a. Strengthening the language in the Memorandum-of-Understanding (MOU), designating a home unit for the scholar, and clarifying the role of the other units in the tenure and promotion process.
b. Special attention to the hiring of junior faculty in joint appointments, reflecting the low rate of success of such appointments.

3. Scholars involved in interdisciplinary, non-traditional, or emerging research (whether on regular or joint appointments) may have different career trajectories than their colleagues with regard to research funding, publication venues, and networking. Thus it is important to establish guidelines that ensure they are fairly evaluated and supported. Furthermore, the success of these scholars may require commitments from the units or the colleges involved in such hires to provide some resources to deal with these special issues.

Relevant Language in University Documents

The booklet on Guidelines for Appointment, Promotion and Tenure at Maryland does not contain any mention of Interdisciplinary Research. It does, however, discuss guidelines for joint appointments and the related promotion process that focus on the mechanics of the appointment and promotion process. These are as follows: (Starting from Page 17 of Guidelines for APT at Maryland)

Information about Joint Appointments:
New Joint appointments should include a copy of the memorandum of understanding (M.O.U.) between the two participating units. This MOU should also be sent to the faculty member. Ordinarily, the memo specifies:

- The tenure home;
- Division of responsibility for the line and, where appropriate, arrangement for allocation of DRIF money, lab and office space;
- Rights and obligation of the secondary unit(s) and conditions under which line responsibility might be renegotiated (e.g., if units disagree about promotion and/or tenure); and arrangements for renewal of contract and promotion (if appropriate).

Review of newly hired joint appointment as well as promotions for candidates with joint appointments: In joint appointments, the tenure home department is referenced here as primary, usually the department with the greatest fraction of the department line. It is the prerogative of the primary department to grant tenure. However, because the rank held by an individual must be consistent across departments, the primary department needs to consider advisory input from the secondary department or unit (e.g. an Institute) as part of the APT review. The following scenarios reflect three different kinds of joint appointments (only the titles are given here; the details can be found in the APT Guideline booklet):

- Appointments split between two independent tenure granting departments and schools. The outline of the tenure review process is as follows:
  - Two Departments or Units meet to decide on external referees:
    - Letters are sent under joint signature of APT Review Committee Chairs;

- A joint advisory subcommittee or separate advisor subcommittee may be appointed.

  o Secondary Unit performs review:
    - Secondary Unit APT review committee votes and writes a report;
    - Secondary unit administrator writes a letter;
    - Material is forwarded to Primary unit.

  o Primary Unit completes review:
    - The APT review committee considers its own material and the material supplied by the secondary unit committee;
    - Primary unit votes and writes a report;
    - Primary unit administrator writes a letter;

  o Primary College review:
    - Primary College evaluates Dossier containing Primary and Secondary Units' reviews;
    - College APT Review Committee votes and writes report;
    - Dean writes letters;
    - Material is submitted for evaluation by the Campus APT Review Committee;

- Appointments split between tenure home and a "permanent" appointment in a secondary unit.

If a candidate holds a permanent appointment in a secondary unit that is neither a secondary department nor a non-departmentalized school, the director's recommendation will be informed by advice from the relevant (at rank) faculty in the unit. The format of the advice will be determined by the tenure granting unit's plan of organization. If the input is in the form of a vote, the vote may not include input from those eligible to vote on the candidate at the Department level elsewhere. The director's advisory letter should be available to faculty in the primary unit before they vote.

- Appointment split between tenure home and a temporary appointment in a secondary unit.

The secondary unit Chair/Director writes an evaluative letter to the primary Chair, which is available to the primary unit faculty before they vote. Faculty in the temporary unit do not vote.

Best Practices from Peer Institutions

The guidelines for hiring and promotion of scholars in IDR at peer institutions are largely similar to those at UMD. For example, the guidelines at the School of Arts and Sciences at Ohio State University requires the designation of a "Home Department", similar to the "primary" unit for joints appointments at UMD, for all interdisciplinary hires. The "home department" is in charge of the promotion process, which includes input from other units through a process spelled out in the guidelines. At University of Illinois, in addition to

guidelines for joint appointments in two or more units, guidelines exist for single unit appointment of a new or current faculty in interdisciplinary research.

Recommendations

Although the UMD guidelines for joint appointments, on the whole, are sound, the available information on the experience at UMD and the studies at peer institutions point to the need for a re-examination of certain aspects of the current practices. Three areas, in particular, emerged as in need of further attention and improved procedure:

- **Joint appointment of junior faculty:**

  The overarching goal of the new language regarding joint appointments is to protect the faculty in these positions from ambiguities in policies, and potentially uninformed votes by senior faculty at tenure time. It is also recognized that guidelines must take into account significant differences in the type of joint appointments, which include joint appointment between two tenure units (with faculty assigned to one primary unit), between a tenure unit and a center or institute. Nonetheless, there is evidence from the past and recent experience at UMD and other institutions that joint appointments, with varying degrees in all forms, have a lower success than regular hires. The subcommittee felt that the current policies are not sufficiently responsive to the special difficulties that junior faculty on joint appointments often encounter. These include the difficulty of identifying mentor(s), satisfying the teaching and service requirements in two or more units, development of an appropriate metric for evaluating interdisciplinary research, and the limited pool of external evaluators and established publication venues for work spanning several disciplines. In view of these concerns and the data on the current experience here and elsewhere, the subcommittee believes that these appointments are only advisable in cases where the units can articulate a strong case for a clear need and benefit to the institution from such a hire. In such cases, it is very important the MOU is agreed upon at hire, comprehensive in outlining roles within each unit and criteria for advancement, and is carefully followed for annual, third year, and all promotion and tenure decisions.

  Primary department
  In the cases where a joint appointment is in the University's and the faculty member's best interests, the MOU should designate one unit as the "Primary" department. The Primary department will have full responsibility for coordinating evaluation and promotion activities, with the other units(s) providing input, but playing just a minor, advisory role in the process.

- **Awareness and Career Support for Interdisciplinary Scholars:**
  Scholarship is a dynamic process, and the University of Maryland recognizes that methodologies, topics of interest, and boundaries within and between disciplines change over time. It is important that we sensitize department chairs and promotion and tenure committee chairs to the fact that interdisciplinary scholars will often be publishing in journals unfamiliar to faculty in their unit, and may have different, though similarly important measures of impact, funding sources, and career networks. It may be helpful

for deans to hold annual workshops for chairs to discuss these challenges and ways to address them.

- **The Content and the sign-off on the Memorandum-of-Understanding (MOU):** The MOU for all joint hires should include the full details of the responsibilities in the units that are party to the appointment and it must be signed-off by the dean, or deans of colleges if more than one college is involved, and the office of the Associate Provost. Furthermore, the faculty in all relevant units should be made aware of the joint appointment procedure and the content of the MOU for each joint hire, at the hiring, third-year contract renewal review and promotion steps. The document must, at least, spell out the following:

    - Teaching, advising, and service responsibilities and expectations
    - Division of DRIF
    - Office/lab space, startup funds, and summer funds
    - Procedures for ending the joint appointment and retreat rights
    - Promotion and contract renewal procedures, including provision for reviewers outside the home department if appropriate
    - Designation of a "primary" unit
    - Discussion of provisions for mentoring

APT Policy Revisions

No changes to APT Policy.

Guidelines Revisions

1) In the Guidelines, Addition to Language on the Curriculum Vitae in the section on Research, Scholarly, or Creative Activities, to clarify collaborations in CVs [add underlined]:

> …and identifying which co-authors they mentored as undergraduate and graduate students, postdoctoral researchers, faculty research assistants, and junior faculty. <u>Where appropriate, candidates should clearly characterize their contribution(s) to a collaborative activity, as practiced in the Department.</u> When the research is published in a foreign language, the translation of the title should be included.

2) Here we adopt the recommendations presented in a whitepaper by ADVANCE committee (Table C on page 10), by revising the Guidelines – Information for Faculty Administrators, Appointment Considerations as follows [add all language below]:

> <u>Considerations for Interdisciplinary, Non-Traditional, Or Emerging Scholarship</u>

Scholarship is a dynamic process, and the University of Maryland recognizes that methodologies, topics of interest, and boundaries within and between disciplines change over time. Faculty are encouraged to engage in innovative discovery and dissemination. Several units are already accustomed to recognizing such different approaches and would not require modifications to existing unit criteria for tenure and/or promotion; however, many fields are challenged with assessment of faculty exploring non-traditional research paths. Such individuals will often publish in venues unfamiliar to faculty in their tenure homes, and may have different, though similarly important measures of impact, funding sources, and career networks. Examples of faculty practicing non-traditional scholarship include those who:

•   Engage in emerging scholarship that spans more than one discipline, or has a non-traditional approach to an established discipline,

•   Work in multiple traditional disciplines, or

•   Are involved in scholarship outside that of the dominant model of his/her tenure home.

Any exceptional arrangement that requires a modification of criteria for tenure and/or promotion shall be specified in a written agreement from the time of appointment up to the third-year review for untenured candidates, or at any time following the award of tenure, and shall be approved by the faculty and administrator of the first-level unit, by the Dean of the school or college, and by the Provost. (APT Policy Section II).

Each candidate should be made aware of the opportunity to request an agreement specifying a modification of criteria for tenure and promotion. This formal written agreement would specify the nature of the candidate's duties and obligations to the Department(s). It is recommended that the Department consult with a scholar from the relevant discipline(s), or one who does similar research, if applicable, to develop the agreement. Additionally, Chairs should assign appropriate mentors from other relevant discipline(s).

APT Review of Faculty with Agreements for Modified Unit Criteria
In cases where there is an agreement for modified unit criteria for tenure and/or promotion, Departments should consider identifying alternative venues and forms of dissemination of products of scholarship that would be acceptable alongside more traditional dissemination in their criteria for tenure and promotion. Examples might include:

•   Research or scholarly essays published in refereed journals or books, or accepted for publication in journals or books outside one's discipline.

- Peer-reviewed handbooks
- Cross-disciplinary analyses of extant literature
- Popularizations or applications of scholarly research and theory in journals
- Computer programs or other media products

In reviewing candidates with agreements for modified criteria, APT review committees should include a professor, knowledgeable in the other discipline(s), from on or off campus, to serve in an advisory capacity to both the Advisory Subcommittee and the Department APT Review Committee. The Department may wish to have this professor present at the APT Review Committee meeting, in a non-voting capacity, in order to provide context for the faculty member's work. The chair of the Advisory Subcommittee for the candidate should ensure that some of the reference letters are from scholars who conduct research in the other discipline(s). Faculty involved in the third-year review and the Department APT Review Committee should be provided with the agreement as part of their deliberations. Additionally, the executed agreement must be signed and dated by the candidate and included in materials for external evaluators, as well as in the APT Dossier for review at all levels.

3) In Guidelines, language addition to section on Joint Appointments [add underlined]:

…the primary Department needs to consider advisory input from the secondary Department or Unit (e.g., an Institute) as part of the APT review. The Department may wish to have a representative from the other unit present at the APT Review Committee meeting, in a non-voting capacity, in order to provide context for the faculty member's work. The following scenarios reflect three different kinds of joint appointment…

External Evaluators and Letters

Subcommittee: Balthrop, Chambers, Jawahery, Killen, Rudnick (chair), Schwab

Background and Rationale

The taskforce was charged with i) reviewing the standards used to select external letter writers, and ii) consider the elements and approaches used to evaluate candidates including the current process for requesting letters and evaluating letters and "non-responses" from external evaluators .. ." In addition, although current guidelines allow solicitation of letters from collaborators, the taskforce revisited this issue given the confusion that seems to exist regarding current guidelines.

Guiding Principles

1. Research fields have become increasingly collaborative across a wide spectrum, leading to many connections between researchers in some fields (e.g., through large-scale collaborations involving hundreds of people, edited volumes, etc.). Therefore there should be flexibility in the guidelines regarding selection of external evaluators, which would allow for the possibility, in such cases, to seek evaluations from those who might normally be deemed collaborators. These exceptions should be justified by the Unit's APT Advisory Committee.
2. Research has also broadened to encompass non-traditional arenas where the best evaluators may not be in the academy, or may be in emerging fields where the top experts are not yet full professors. Therefore, flexibility regarding selection of external evaluators should be extended to allow for solicitation of letters from those who may not hold the rank of Professor at a peer institution. Such exceptions should be fully justified by the Unit's APT Advisory Committee.
3. Top scholars and research scientists have a very high request rate for writing external evaluations and not everyone who is contacted to provide a letter of evaluation can do so within the time frame. A higher rate of return of external evaluations is likely to be had if the evaluators are contacted initially to see if they are able to provide a letter within the required timeframe and if follow-up emails are sent as the deadline grows near. A standard template email request regarding whether the external evaluator could complete the letter within the time period would help to ensure a high response rate for evaluations and create a systematic process throughout the University.

Relevant Language in University Documents

As text in the guidelines pertaining to letter writers is rather extensive, we first summarize the pertinent points. The full text from the guidelines is provided below this summary.

- The Unit's APT committee solicits letters from six or more "widely recognized authorities in the field".

- At least three letters and at most 50% of letters shall be from persons nominated by the candidate.
- While letters from collaborators or mentors are not prohibited, it is recommended that at least six of the letters come from people who have no relationship to the candidate.
- Up to two letters can be from mentors or collaborators, provided the Unit provides sufficient explanation for why these letters are need.
- An exception is where "an appropriately small number of the six letter writers have had a one-time or temporally distant collaboration" with the candidate.
- The total number of letters should not exceed nine.
- "Where appropriate", evaluators are asked to comment on the candidate's chances for promotion in the evaluator's institution (and the letter should note that this is an important consideration in the case).

From APT Guidelines, P. 11-13:

External Evaluators

The Review Committee shall solicit letters of evaluation from at least six widely recognized authorities in the field, chosen from a list that shall include individuals nominated by the candidate. Among the letters requested, at least three and at most one-half must be from persons nominated by the candidate (APT Policy Section IV.A.2, page 66). The Chair of the Department APT Review Committee should receive suggestions of potential external evaluators from the candidate. The Committee should select evaluators from the candidate's list and must also choose evaluators from their own list. If the candidate has a joint appointment, the secondary Department or unit must be consulted on the choice of external evaluators, which is also recommended for faculty who have agreements for modified unit criteria. See Information about Joint Appointments, page 17.

APT Review Committees at all levels question the credibility of letters from the candidate's mentors and collaborators, and heed closely the comments of evaluators from highly ranked institutions and, where appropriate, evaluators holding the rank of professor. The committee will also heed closely the comments of evaluators who are documented as among the outstanding leaders in the field. It is suggested that, at a minimum, six of the letters be selected from evaluators who are not the candidate's mentors and collaborators. Up to two additional letters (for a total of at least eight) may be from a mentor or collaborator as long as sufficient explanation is provided by the Chair of the APT Review Committee and/or Department Chair. An allowable exception is the case where an appropriately small number of the six letter writers have had a one-time or temporally distant collaboration.

The most reliable way to get external evaluators to engage in a review is for the Committee to solicit letters well in advance of their deadline.

The Committee must include a list of all the evaluators to whom a formal request was sent, even if the evaluators do not reply or decline to write. Copies of the letters (or emails) of refusal must be <u>included in the dossier</u>. Verbal communications will not be

accepted, and any prejudicial discussion regarding declines or non-answers is discouraged. In the log, the initial date that the evaluator was contacted should be included, when candidate materials were sent (if different from initial) and the date of response (either when the evaluation was received or the reviewer declined to review). A template for the letter log is available on the Faculty Affairs website (copied in Appendix A) providing the appropriate format. Because all APT review committees should have access to the same external letters, late arriving letters should not be included in the dossier, nor be used for evaluative purposes during deliberations. Unsolicited letters do not belong in the dossier and should not be relied on for evaluative purposes during deliberations.

The letter log should indicate which evaluators are collaborators with, or mentors of, the candidate.

A justification of their inclusion should be provided in the credentials document. Once the list of external evaluators is finalized, summarize their credentials with a paragraph for each evaluator. Do not include CVs of the evaluators. It is helpful if the order of the credentials paragraphs mirrors the order of letters in the dossier. *It is important for the Department APT Review Committee to justify the choices of evaluators and to indicate the type and quality of the institution or program with which the evaluator is associated.*

An excessive number of letters (e.g., 10 or more) should be avoided. Should an insufficient number of letters be received in a timely fashion, the case may still go forward. However, Units should be aware that the absence of the requisite number of letters weakens the case for the candidate. Although the contents of the letters are to be shared with eligible voters at each level of review, these letters are highly confidential and must not be shared with the candidate or others who will not be voting on or evaluating the candidate for promotion. Candidates may not contact evaluators to determine their willingness to provide information, or to enquire about the contents of the evaluation.

The following guidelines should be followed in presenting letters:

- All letters received in response to solicitation must be included in their entirety if the letters arrive in time for consideration by the Department APT Review Committee.
- Letters in a foreign language must be accompanied by an English translation.
- Each letter should clearly indicate whether the evaluator was selected by the candidate, or by the committee.
- Dossier preparation and evaluation is facilitated if letters from external evaluators are sent as searchable electronic attachments.

Committees and candidates should take into account the following issues in selecting their evaluators.

- An evaluator who is the candidate's dissertation advisor, former teacher, co-author, or student should be avoided, unless special circumstances are explained by administrators.
- When a candidate is re-reviewed, as in the case of someone coming up for

Professor shortly after being reviewed for promotion to Associate Professor, new evaluators should be chosen unless there are strong justifications for repeated selection.
- Evaluators should ordinarily hold the rank of Professor or its equivalent.
- If evaluators are asked whether the candidate would be promoted at their institutions, the prestige of the evaluators' institutional affiliations and their accomplishments should be taken into account in selecting them.

Candidates should be informed of the University's perspective on appropriate evaluators and the right of the Department to select from the candidate's nominations those that the APT Review Committee deems appropriate. Candidates should also be informed about University rules of confidentiality.

Sample Letter to External Evaluators

(See Appendix B, page 42) *The letter used to solicit external evaluations is usually sent by the Chair of the Department APT Review Committee, or from the chairs of both committees if the candidate has a joint appointment. The letter should be neutral, asking for an honest evaluation rather than for support for the faculty member's promotion. It should ask if the reviewer is a co-author or collaborator. The letter should ask the evaluator to comment on:*
- *the nature of the evaluator's professional interactions with the candidate;*
- *the candidate's ranking among his or her professional peers (or cohort);*
- *the candidate's chances for promotion here and, where appropriate, tenure in the evaluator's own institution, noting expressly that information on this point is an important consideration;*
- *the impact of the candidate's work on the field;*
- *clarification of the candidate's collaboration with other scholars in his/her field;*
- *the quality of the candidate's teaching, if known.*

Departments have the option of sending teaching dossiers including syllabi, examinations and other instructional material to external reviewers for their evaluation. Reviewers may be asked to comment on the scope and currency of the instructional materials and their appropriateness to the discipline and to the level of the course. Attachments to the letter should include the criteria for promotion, the candidate's CV and Personal Statement and a list of scholarly and teaching materials being sent, or made available, to the evaluator. The attachments should be listed within the sample letter.

Current policy states, in Section IV.A.2:

786 2. The committee shall solicit letters of evaluation from six or more widely
787 recognized authorities in the field, chosen from a list that shall include
788 individuals nominated by the candidate. At least three letters and at most
789 one-half of the requested letters shall be from persons nominated by the
790 candidate.

Best Practices from Peer Institutions

1. <u>UC Berkeley</u> seeks 3- 7 letters depending on the type of case. Assistant = 3 – 5; Associate (with tenure) = 7; Full minimum of 5 (half from department). Letters should be from peer institutions and individuals should provide an independent assessment. Collaborators can be included, as well as thesis advisors. "As a rule of thumb, the campus prefers letters from full professors at peer institutions or from peer departments."

2. <u>U of Illinois</u>: Initial contact can be made by telephone to determine if the referee is available. The evaluator can be asked at that time to make additional suggestions for recommenders.

3. <u>U of Wisconsin</u> seeks five letters; more than eight is excessive. Five must not be UWM faculty, mentors or collaborators, and have no personal interest in candidate's success. They must account for everyone contacted.

4. <u>UNC</u> "Many schools have stopped asking the reviewer if the person up for promotion would hypothetically be promoted at their institution."

Recommendations

Recommendation 1: Allow for greater flexibility in selection of external evaluators in cases where current guidelines pose impediments to providing a full, equitable and thorough evaluation of the candidate.

Recommendation 2: Letters sent to external evaluators should not seek the evaluator's opinion about whether the candidate would be promoted at their own institution. Rather, the letters should ask the evaluator to make their recommendation based on the criteria for promotion at Maryland, which are provided to the evaluator.

Recommendation 3: The Dean's office should vet the list of external evaluators chosen by the unit to evaluate any justifications for soliciting letters from collaborators.

Recommendation 4: External evaluators should be contacted via email at the outset to establish whether they can provide a letter. A follow up email should be sent shortly thereafter (e.g., within a week or two) if there has been no response, a reminder email should be sent shortly before the deadline if the letter has not yet been received. A full record of correspondence between the Unit and the evaluator must be provided in the letter log.

Recommendation 5: The Faculty Affairs Office should draft a sample email request for availability and revise the sample formal request for evaluation to reflect the proposed changes. These samples should be included in the appendices of the Guidelines manual.

APT Policy Revisions

No recommended changes to Policy.

APT Guidelines Revisions

New language underlined.

Under External Evaluators:

APT Review Committees at all levels question the credibility of letters from the candidate's mentors and collaborators*, and heed closely the comments of evaluators from highly ranked institutions and, where appropriate, evaluators holding the rank of professor.... An allowable exception is the case where an appropriately small number of the six letter writers have had a one-time or temporally distant collaboration. In some circumstances, a greater proportion of letters from collaborators* may be needed in order to provide a full, equitable, and through evaluation of the candidate. Such letters may be allowed if justification is provided by the Unit undertaking the evaluation (e.g., in cases of very large collaborations where coauthors number in the hundreds). It is recommended that list of external evaluators and their credentials, as well as justification for including a greater proportion of collaborators be vetted by the Dean's office prior to solicitation of letters, in order to identify possible inadequacies in the overall list. The most reliable way to get external evaluators to engage in a review is for the Committee to solicit letters well in advance of their deadline. Initial contact shall be made via email to establish whether the evaluator is available to provide a letter within the required time frame. The email should include an explicit deadline for reply in order to determine the need for contacting additional evaluators. Once the evaluator has indicated that he or she is available, all materials shall be sent to the evaluator, along with the official solicitation letter; a reminder email shall be sent within one week of the deadline if the letter is still outstanding at that time. Example text of such emails are provided in the appendix; all such correspondence shall be recorded in the letter log.

*Collaborators are here defined as a coauthor on any peer-reviewed work, the candidate's advisor or advisee, the candidate's mentor. The following examples would not be considered as collaborators: an editor of a volume in which the candidate has a chapter, or vice versa; service on the same committee, taskforce, or council; for professional or other organizations; co-organizer of a workshop; member of a former Department of the candidate and which there were no co-authored projects or committee memberships.

…Committees and candidates should take into account the following issues in selecting their evaluators.

- ~~If evaluators are asked whether the candidate would be promoted at their institutions.~~ The prestige of the evaluators' institutional affiliations and their accomplishments should be taken into account in selecting them. Evaluators should ordinarily hold the rank of Professor or its equivalent at peer institutions. However,

evaluations from recognized experts in the field should always be sought, regardless of institutional affiliation. Some examples may include those outside the academy, scholars in emerging fields, or experts who have not yet achieved the rank of Professor. In these cases, the rationale for choosing these evaluators shall be provided by the Unit's APT Review Committee in the external evaluator credentials section of the dossier.

Under Discussion of Sample Letter to External Evaluators:

- *…*
- *the candidate's ranking among his or her professional peers (or cohort);*
- *the candidate's ~~chances~~ qualifications for promotion ~~here and, where appropriate, tenure in the evaluator's own~~ institution based on the Unit's promotion criteria, noting expressly that information on this point is an important consideration;*
- *the impact of the candidate's work on the field;*
- *…*

Under "DEPARTMENT APT REVIEW COMMITTEE MEMBERS" - **External Evaluators**

…The Chair of the Department APT Review Committee should receive suggestions of potential external evaluators from the candidate. The Committee should select evaluators from the candidate's list and must also choose evaluators from their own list…If the candidate has a joint appointment, the secondary Department or unit must be consulted on the choice of external evaluators, which is also recommended for faculty who have agreements for modified unit criteria. See Information about Considerations for Interdisciplinary, Non-Traditional, or Emerging Scholarship and Joint Appointments~~, page 17~~.

In Appendix – Letter Log – add column for response from initial email contact: Available, Unavailable, No Response

In Appendix - Sample Letter to External Evaluator - 6th - 8th bullets

- the candidate's teaching abilities and performance with regard to teaching and mentoring,
- the candidate's qualifications for promotion based on the criteria provided,
- how the candidate compares to others in the field at a comparable stage in their careers ~~and~~, **when appropriate**, ~~whether or not you would recommend promotion/tenure at your institution (this is an important component in your considerations)~~,

<div align="center">

Teaching Subcommittee
Members: Curtis Grimm, Laura Rosenthal, and Robert G. Chambers

</div>

Background & Rationale

Evaluation of teaching for the tenure and promotion process varies widely across campus, which can have a disadvantageous effect for some candidates. Reliance on student evaluation data alone for this evaluation can be problematic. Also, the existing guidelines list materials that could be included in a dossier with little guidance on how to present the materials.

Guiding Principles

Teaching and mentorship practices can vary widely across different disciplines. Despite these differences, the guidelines on tenure and promotion should provide a common framework in which the individual's activities as a teacher, mentor, and advisor can be fairly and accurately assessed against professional benchmarks and standards in his or her discipline as established at peer institutions.

Evaluation of teaching should include a breadth of teaching indices and not be overly reliant on student evaluations, which, particularly when administered online, have a number of limitations and biases.

Relevant Language in University Documents

Policy

407 A. Teaching and Advisement
408 Superior teaching and academic advisement at all instructional levels (or reasonable
409 promise thereof in the case of initial appointments) are essential criteria in
410 appointment and promotion. Every effort shall be made to recognize and emphasize
411 excellence in teaching and advisement. The general test to be applied is that the
412 faculty member be engaged regularly and effectively in teaching and advisement
413 activities of high quality and significance.
414 The responsibility for the evaluation of teaching performance rests on the academic
415 unit of the faculty member. Each academic unit shall develop and disseminate the
416 criteria to be used in the evaluation of the teaching performance of its members.
417 The evaluation should normally include opinions of students and colleagues.

Guidelines

In CV Elements: Teaching, Mentoring and Advising Section

> 1. Courses taught in the last five years. Indicate enrollments and unusual formats.
> 2. Course or Curriculum Development.

3. Textbooks, Manuals, Notes, Software, Web Pages and Other Contributions to Teaching.
4. Teaching Awards and Other Special Recognition.
5. Advising (other than research direction): Indicate numbers of students per year.
    1. Undergraduate
    2. Graduate
    3. Other advising and mentoring activities (advising student groups, special assignments, recruiting, faculty membership, etc.).
6. Advising: Research Direction. This refers to students whose projects the candidate has directed as chair. The name of the student and academic year(s) involved should be indicated, as well as placement of the student(s), if the project is completed.
    1. Undergraduate
    2. Master's
    3. Doctoral
7. Contribution to program's learning outcomes assessment.
8. Extension Activities. Major programs established, workshops, presentations, media activities, awards, honors, etc.

Under Supplemental Dossier

In addition to the APT dossier, you may wish to prepare an optional supplemental dossier, which might include additional pieces of scholarship, descriptions of awards and honors, and other materials submitted by the candidate.

Best Practices from Peer Institutions

University of Michigan, Ann Arbor provides as an attachment to its promotion and tenure guidelines an occasional paper developed by its Center for Research on Learning and Teaching. This document provides background material on how to structure and design a teaching portfolio. Its overarching principle is perhaps best summarized by the phrase it uses to describe proper documentation of teaching activities: "The portfolio should be more than a simple collection of documents". It is recommended that the Portfolio include three types of items: "materials from oneself," such as reflective statements; "materials from others," such as student evaluations and assessments from colleagues who have observed classes and reviewed materials; and "products of good teaching," such as evidence regarding placement of Ph.D. students in professional positions.   An Appendix is included with over 40 possible items for inclusion, organized according to the three types of items.
    University of Texas, Austin provides very specific instructions on what materials should be included in documenting teaching activities. Their guidelines are far more specific than those that currently exist at UM and are more detail-oriented than those provided, for example, at University of Michigan.

Recommendations

We recommend that the teaching component of the dossier include a mandatory Teaching Portfolio that is more extensive than just a compilation of student-based course evaluations.

Our recommendation is that the guidelines for preparing the Teaching Portfolio be structured along the lines of the University of Michigan model. The guidelines for preparing the portfolio should be flexible enough to accommodate the differences that arise across different teaching activities (classroom, mentoring, research supervision, etc.) and across different disciplines. The Portfolio itself should also be capacious, drawing on multiple forms of evaluation and the full scope of the candidate's contributions to student learning, such as participation in curriculum revision or a learning outcomes assessment project.

Documentation of the candidate's teaching record should begin with the candidate's appointment and should include the outcomes of periodic peer reviews as well as the candidate's response to those evaluations. This periodic peer review process should provide an interactive framework that allows the evaluator(s) to provide constructive criticism to the candidate and the candidate to respond to that criticism. Peer evaluation should proceed according to a rubric established at the unit level that is common to all candidates for promotion and to all evaluators.

The Office of Faculty Affairs should develop an appendix to the guidelines that includes sample elements of the teaching portfolio.

APT Policy Revisions

Section II.A Teaching and Advisement [add underlined, remove strikeout]

> The evaluation ~~should normally~~ must include opinions of students, colleagues, and other materials contained in the teaching portfolio.

Section IV. Promotion, Tenure and Emeritus Review [add underlined]

> Candidates must submit a teaching portfolio to the first-level APT Review Committee to be included in the review process.

Guidelines Revisions

In the CV elements -Teaching, Mentoring and Advising section [add underlined]:

> 6. …3. Doctoral
> 7. Contribution to learning outcomes assessment.
> 8. Extension, Entrepreneurship, and Public Engagement Activities. Major programs established, workshops, presentations, media activities, awards, honors, etc.

Add the following text to the Teaching Portfolio section of the Guidelines [add underlined, remove strikeout]:

> In addition to materials for the tenure and or promotion dossier, ~~you~~ the candidate will prepare a teaching portfolio, according to Department guidelines, which ~~might include syllabi from your courses, examples of assessment, and evaluations of your~~

teaching. ~~This dossier may also include representative pieces of scholarship.~~ <u>could include representative pieces of scholarship and a teaching portfolio. The portfolio could include the following types of items: course syllabi; a statement of teaching philosophy, reflective assessments; assessments from colleagues (separate from formal peer reviews); learning outcomes assessment materials; and mentoring accomplishments, such as placement of advisees in academic and professional positions. Examples of teaching portfolio elements are included in the Appendix.</u>

Add the following text to the Peer Evaluation of the Candidate's Teaching section of the Guidelines [add underlined, remove strikeout]:

Departments ~~should~~ <u>must</u> engage in systematic <u>and periodic</u> peer review of teaching based on classroom visits by <u>tenured faculty</u> colleagues. Beyond this requirement, peer evaluation could also include evaluation of the candidate's mentoring and advising. <u>Documentation of the candidate's teaching record should begin during the first year of the candidate's initial appointment and should include the outcomes of periodic peer evaluations as well as any response from the candidate to those evaluations, which could be included in the candidate's personal statement or teaching portfolio. Peer evaluation should proceed according to a rubric established at the unit level that is common to all candidates for promotion and to all evaluators.</u> *Peer evaluation should include evaluation of course syllabi, examinations, and other instructional material by members of the Department or external evaluators, and discussions of curriculum development, introduction of innovative uses of technology, special contributions to the teaching mission of the* ~~*d*~~*<u>D</u>epartment or to special programs, and teaching awards received by the candidate. Reports provided only months ahead of the APT review (as opposed to those based on systematic visitation) tend not to be given much credence by higher levels of review.*

Departments ~~may~~ <u>must</u> require ~~request~~ a teaching portfolio <u>from the candidate, as described in the Teaching Portfolio section of Information for the Candidate</u>. This portfolio should be uploaded to the ~~supplemental materials area of the~~ APT website. ~~Reports provided only months ahead of the APT review (as opposed to those based on systematic visitation) tend not to be given much credence by higher levels of review.~~

Add the following text to the Department Chair Section under Peer Evaluation of Teaching [add underlined, remove strikeout]:

~~In the Unit's implementation of peer teaching evaluation, it~~ <u>It</u> is the Chair's responsibility to ~~assign other faculty to observe a candidate's classes~~ <u>ensure implementation of the unit's plan for peer evaluation of teaching for every candidate.</u> It is recommended that peer evaluations of the candidate's teaching be conducted ~~at least once annually~~ <u>periodically by tenured faculty members (it is advisable to conduct these reviews annually). Peer evaluation should proceed according to a rubric established at the unit level that is common to all candidates for promotion and to all evaluators. These periodic reports should be made available to the candidate, and any response by candidates should be filed in the Chair's office for inclusion in</u>

<u>the APT dossier.</u> Evaluations done only in the months preceding review tend not to be given much credence by higher levels in the review process.

Mentoring Faculty Subcommittee
(Killen, Marcus, O'Meara, Rosenthal)

Background and Rationale

The Task Force was charged to "consider how the APT Guidelines can be modified to encourage stronger, consistent, and more effective mentoring of junior faculty. The current guidelines and policy only require that mentors be assigned. The Task Force strongly believes in the importance of mentoring, and is recommending that much more specific guidance around mentoring be included in APT policy and guidelines.

Guiding Principles

1. Mentoring assistant and associate professors is key to maintaining excellence at the University and is essential to the APT process.
2. Mentoring for pre-tenure faculty should be done systematically with annual formal meetings, at least until the tenure review is completed, with supportive and constructive feedback given to the faculty member. The chair should meet at least annually with each pre-tenure faculty member.
3. Mentoring should not end with the granting of tenure, but should be continued by mutual agreement, in an ongoing way to support the professional development of the faculty member.
4. Each unit should have a mentoring plan that is filed with the Office of Faculty Affairs.
5. While each unit will assign at least one mentor, faculty members should be encouraged to seek out multiple mentors as relevant for different aspects of their work and circumstances (e.g. teaching, research). Ideally, this process would be facilitated by the units, colleges, and the university.

Relevant Language in University Documents:

1. Language in 2013-2014 APT Guidelines:

Guidelines, p. 6, in the Information for the Candidate section:

> Soon after you arrive, APT policy calls for your administrator
> a) to provide you with a written copy of the promotion guidelines and promotion criteria by which you will be evaluated (APT Policy Section II, page 55; Section IV, page 62) and
> b) to appoint one or more senior faculty mentors (APT Policy Section IV.A.3, page

66; see also the Senate Task Force Report available at
www.faculty.umd.edu/faculty/mnt_ndx.html).

Guidelines, p. 20, in the section for Chairs:

Preparation for tenure and promotion review begins when the candidate enters the University. The APT Policy calls for the administrator of the academic unit that will become the faculty member's tenure home to (a) meet with the candidate and provide a written copy of the approved promotion guidelines and promotion criteria by which the candidate will be evaluated (APT Policy Section II, page 55; Section IV, page 62) and (b) appoint one or more senior faculty mentors. (APT Policy Section IV.A.3, page 66; see also the Senate Task Force Report available at http://www.faculty.umd.edu/faculty/mnt_ndx.html). The list of new tenure track faculty and their mentors is due in the Office of the Associate Provost by February 1.

2. Language in APT Policy, Section IV.A.3:

791 3. Each first-level unit shall provide for the mentoring of each assistant
792 professor and of each untenured associate professor by one or more
793 members of the senior faculty other than the chair or dean of the unit.
794 Mentors should encourage, support, and assist these faculty members and
795 be available for consultation on matters of professional development.
796 Mentors also need to be frank and honest about the progress toward
797 fulfilling the criteria for tenure and/or promotion. Following appropriate
798 consultations with members of the unit's faculty, the chair or dean of the
799 unit shall independently provide each assistant professor and each
800 untenured associate professor annually with an informal assessment of his
801 or her progress. Favorable informal assessments and positive comments by
802 mentors are purely advisory to the faculty member and do not guarantee a
803 favorable tenure and/or promotion decision.

In addition, there is a mentoring section on the Faculty Affairs web site:
http://faculty.umd.edu/faculty/mnt_ndx.html
and a manual for mentors and mentees at
http://faculty.umd.edu/faculty/documents/MentoringGuide.pdf

In addition, there are a number of references to this policy and to mentors in the APT Guidelines.

Best Practices from Peer Institutions

There are few peers that have much discussion of, or require mentoring in their APT

policies. When mentoring is mentioned, the word "mentor" is almost always used. Others have information similar to our manual and web site mentioned above. In a number of institutions, the ADVANCE program leads campus mentoring efforts.

1. Michigan State University has a formal faculty mentoring policy, which requires each college to have a mentoring plan; most colleges then require mentoring plans from departments.
2. An APT Task Force report from the University of North Carolina recommends that "All academic units that grant tenure and promotion should have a mentorship plan in place that is filed with the Provost's office," and later states that "It may be desirable for an early-career faculty to have multiple mentors."
3. Some departments at the University of California, Berkeley have a formal mentoring structure, but such programs are not required.

Recommendations

1. There was strong agreement on Guiding Principles 1), 2), and 4) above. The Task Force recommends that mentoring be required for assistant professors and untenured associate professors, that it should be continued by mutual agreement for tenured associate professors, that there should be accountability, and that there should be training available for mentors and administrators.
2. There was strong agreement that mentoring is very important, and that it should be incorporated into the APT Guidelines.

APT Policy Revisions

Suggested revisions to current policy, Section IV.A.3 [add underlined, remove strikeout]:

3. Each first-level unit shall will provide for the mentoring of each Assistant Professor and of each untenured Associate Professor by one or more members of the senior faculty other than the Chair or Dean of the unit. Each unit will have a mentoring plan that is filed with the Office of the Associate Provost for Faculty Affairs. Mentoring should be done systematically and provide for a formal meeting at least annually for tenure-track faculty, until the tenure review is completed. In addition, each unit will offer mentoring by one or more members of the senior faculty to each Associate Professor. Mentors should encourage, support, and assist these faculty members and be available for consultation on matters of professional development. Mentors also need to be frank and honest

about the progress toward fulfilling the criteria for tenure and/or promotion. Following appropriate consultations with members of the unit's faculty, the Chair or Dean of the unit shall independently provide each Assistant Professor and each untenured Associate Professor annually with an informal assessment of his or her progress. Favorable informal assessments and positive comments by mentors are purely advisory to the faculty member and do not guarantee a favorable tenure and/or promotion decision.

The first-level academic unit shall perform a formal intermediate review of the progress towards meeting the criteria for tenure and promotion in the third year of an Assistant Professor's appointment. The first-level academic unit shall perform a formal intermediate review of the progress towards meeting the criteria for promotion to the rank of professor in the fifth year of a tenured Associate Professor's appointment and every five years thereafter. An Associate Professor may request an intermediate review earlier than the five years specified. The purposes of these intermediate reviews are to assess the candidate's progress toward promotion, to inform the reviewed faculty member of that assessment, to inform the faculty members more senior to that faculty member who will eventually consider him or her for promotion of that assessment, and to advise the candidate and the first-level administrator of steps that should be taken to improve prospects for promotion. These reviews should include formal evaluations of candidates' progress and record in the areas of research, teaching, and service, and will generally not involve external evaluators. If it is deemed necessary to obtain informal external evaluations, the academic unit must adopt written procedures applying this requirement to all intermediate reviews and these procedures must be approved by the academic administrator (dDean or pProvost) at the next level of review. Copies of the reviews will be filed in the office of the next level administrator.

Guidelines Revisions

1. Suggested revisions in Information for the Candidate section-- insert at the end of (b) [add all language below]:

While each tenure-track candidate will be assigned at least one mentor, they are encouraged to seek out multiple mentors. Suggestions include senior faculty in the unit, who can provide valuable information regarding the history and culture of the unit, as well as recently promoted faculty who can provide recommendations for navigating the process. Mentoring should not end with an award of tenure, but should be continued if so desired by the candidate. Each unit will offer mentoring by one or more members of the senior faculty to each Associate Professor, on an ongoing basis to support the

professional development of the candidate. <u>Associate Professors may decline the offer for continued mentoring by formally notifying the Department Chair.</u> Candidates should meet regularly (at least annually) with their academic mentors in order to seek guidance and obtain constructive feedback on progress toward meeting the unit's requirements for tenure and promotion. Units should also help faculty members locate mentors in other units, if desirable.

2. Suggested revisions in the first paragraph in the section for Chairs-- insert before the last sentence [add all language below]:

The chair should give a copy of the Guide for Mentors and Mentees (available at http://www.faculty.umd.edu/faculty/mnt_ndx.html) to each mentor and mentee, which outlines expectations for each party. It is suggested that the mentors be mutually agreed upon between the Chair and the candidate.

3. Suggested revisions in the section for Chairs-- insert after the first paragraph [add all language below]:

Mentoring assistant and associate professors is key to maintaining excellence at the University and is essential to the APT process. Mentoring for tenure-track faculty should be done systematically with annual formal meetings, at least until the tenure review is completed, with supportive and constructive feedback given to the candidate. The Chair should also meet at least annually with each tenure-track candidate; the chair should also oversee the unit's mentoring process to ensure its effectiveness.   In addition, the Chair should discuss options for multiple mentors who can provide guidance on different areas of responsibility and for issues related to any particular challenges the candidate may face. Mentoring should not end with the granting of tenure, but should be continued if desired by the faculty member, in an ongoing way to support the professional development of the faculty member. Each unit will offer mentoring by one or more members of the senior faculty to each associate professor. The administrator is responsible for filing the unit's mentoring plan with the Office of the Associate Provost for Faculty Affairs; an example of such a plan is provided in the Appendices.

4. Suggested revisions in the section for Chairs—insert before the final bullet [add all language below]:

The Chair should give a copy of the Guide for Mentors and Mentees (available at http://www.faculty.umd.edu/faculty/mnt_ndx.html) to each mentor and mentee, which outlines expectations for each party.

5. Suggested additions to Guidelines, Appendix: a section titled Example Unit Mentoring Plans, with two examples.

Background & Rationale

The guidelines and APT process should be updated to take into account changes in UMD work-life balance policies. Also, in order to meet the goals of inclusive excellence, the APT process should, when possible, take into consideration the range of external commitments, ties, and obligations that faculty members, like all adults, will need to negotiate and balance with professional accomplishments.

Guiding Principles

1) Promotion and tenure policies should acknowledge that candidate dossiers will differ based on life circumstances. We want to provide guidance for review processes when candidates have taken advantage of university work-life policies (e.g., stop the tenure clock, parental leave, part-time tenure track, FMLA for care of a parent or other family member).

2) As these UMD policies are relatively new, promotion and tenure committees and department chairs still do not know what is in them, who is eligible, and how they relate to the promotion and tenure process. Providing guidance through APT guidelines and policies increases the visibility of the policies and the potential for their use, as well as decreases the chances that faculty who avail themselves of these policies are discriminated against in the promotion and tenure system (implicitly or explicitly).

Relevant Language in University Documents

There is currently limited language in the APT guidelines regarding work-life balance issues, and how to equitably treat promotion and tenure cases of faculty members who avail themselves of new work-life policies.

UMCP current policy states:

1063 3. If an untenured faculty member requests leave without pay for a year or
1064 more, the dean of the college in which the faculty member will be considered
1065 for tenure shall recommend whether or not the faculty member's mandatory
1066 tenure review will be delayed. A positive recommendation from the dean to
1067 stop the tenure clock shall require evidence: (1) that the leave of absence
1068 will be in the interest of the University, and (2) that the faculty member's
1069 capacity to engage in continued professional activity will not be significantly
1070 impaired during the period of the leave. The dean's recommendation shall

1071 be included in the proposal for leave submitted to the Provost. Delay of the
1072 mandatory tenure review requires the written approval of the Provost

Also

University Policy II-2.25 A

> Faculty are entitled to an extension of time before mandatory tenure review in accordance
> with II-1.00(D) University of Maryland Policy on Extension of Time for Tenure Review Due to
> Personal and Professional Circumstances ("UM Tenure Extension Policy"). Among other
> provisions, the UM Tenure Extension Policy provides that any tenure-track faculty member
> who becomes the parent of a child by birth or adoption will automatically be granted a one-
> year extension of the deadline for tenure review by the provost, upon mandatory written
> notification by the faculty member's department. A second automatic extension for the
> birth or adoption of another child will be granted as long as the total number of all
> extensions does not exceed two.

Best Practices from Peer Institutions

Ohio State University: institution provides child care; awareness of complications in
the tenure timeline; "faculty are people too":
http://womensplace.osu.edu/assets/files/FacultyArePeopleToo.pdf

The University of California at Berkeley policies
http://uhs.berkeley.edu/worklife/facultypolicies.shtml

UC Irvine
http://advance.uci.edu/media/brochures/Brochure_FWLBSS08_Statement.pdf

Recommendations

1. We suggest, as did the ADVANCE professors (led by Sally Koblinsky) last year, that the
following statement be added to letters sent to external evaluators of faculty who were
granted a delay in the tenure clock and are thus coming up later than would be standard:

> "Dr. X has received an extension of the tenure clock per University policy. University
> of Maryland policy states that faculty members shall not be disadvantaged in
> promotion and tenure proceedings because they have elected to extend the time for
> tenure review in accordance with this policy. Please evaluate Dr. X's work as if it
> were done in the normal period of review, which is xx years for [unit name here]. "

2. Promotion and Tenure Committee chairs shall be charged by the Provost's Office (in
   person or by letter) with ensuring fairness and equity in the process. Promotion and
   tenure committee members shall be informed when a candidate took parental leave,

stopped the tenure clock, or was on a part-time tenure clock and informed that these are university-supported policies. All eligible voters should be informed of the campus policy prior to the vote. The focus of discussion and decision-making in APT committees should be on the candidate's performance in meeting criteria set forth in the department, college, university guidelines and not how long (e.g., an extra year) it took to meet those criteria.

3. For associate professors going up for promotion to full, trajectory will always be an important issue. Internal evaluators, however, are encouraged to take contextualizing information disclosed by the candidate into consideration. The candidate should be evaluated against the criteria and not the time it took since their last promotion.

APT Policy Revisions

No changes to Policy.

APT Guidelines Revisions

1. In proposed language on EQUITY AND FAIRNESS IN THE REVIEW PROCESS, at beginning of Guidelines:

> Proactive Procedure: To encourage a fair and equitable review process for the candidate, the Associate Provost for Faculty Affairs will send out a letter to all faculty review committees and administrators at each level reminding them of the importance of conducting a fair and unbiased evaluation. This letter will state that discussions should avoid disparaging or prejudicial comments. It will include an express admonition that the evaluation of the candidate may not be based on factors such as a candidate's sex, race, sexual orientation or other protected personal characteristics. In addition, the letter will stress that neither a candidate's part-time status nor any extension of the mandatory tenure review year authorized pursuant to policy may be held against them, and that such candidates shall be evaluated according to the same criteria applicable to other candidates. Chairs of the unit-level APT review committees are to distribute the letter to the voting faculty at the inception of the review process. This letter shall be referenced prior to the evaluative meeting and when inappropriate discussions arise. In departmentalized Colleges, Associate Deans of Faculty Affairs and College Diversity Officers are encouraged to formally charge individual Department APT Review Committees prior to the review process, paying specific attention to equity-related issues. Additionally, the Associate Provost for Faculty Affairs and the Chief Diversity Officer will arrange to formally charge College APT Review Committees.

2. As another part of EQUITY AND FAIRNESS IN THE REVIEW PROCESS:

> Promotion and tenure committee members shall be informed when a candidate stopped the tenure clock, or was on a part-time tenure clock and informed that these

are university-supported policies. The focus of discussion and decision-making in APT review committees should be on the candidate's performance in meeting criteria set forth in the Department, College, and university guidelines, and not how long (e.g., an extra year) it took to meet those criteria. This recommendation applies to faculty being evaluated for tenure, as well as those with tenure being evaluated for promotion.

Procedures to Follow Observed Actions of Concern: Should faculty members of the APT Review Committee (as witnesses) believe that inappropriate comments have been made, such as disparaging remarks referencing tenure delay(s), part-time appointments, cultural background, group membership, and/or personality traits, they are encouraged to raise their concern during the meeting, citing the Administration's letter. That faculty member may also discuss the issue confidentially with the APT Review Committee Chair, or with the Associate Provost for Faculty Affairs.

3. Addition to the sample letter to external evaluators, in Appendix:

[If a tenure delay has been granted, insert the following language: "Dr. XXX has received an extension of time for review for tenure and/or promotion in accordance with University of Maryland policy. University policy expressly provides that faculty shall not be disadvantaged upon review as a result of such an extension. Please evaluate Dr. XXX's dossier as if it were completed in the ordinary period for review, which is xx years from appointment."]

Background & Rationale

The quality of the review conducted during the APT process is critically dependent on accuracy of information in the dossier. Allowance for examination of non-evaluative elements of the dossier contributes to such quality. As such, the goals of the recommendations of the subcommittee are to promote appropriate transparency in the review process and accuracy of content in the dossier via examination and confirmation of the record by the candidate of all non-evaluative elements (i.e., the CV, summary statement of professional activities, reputation of publication outlets, teaching and mentoring records, and peer evaluation of teaching) as indicated by the candidate's signature. In addition, it is in the best interests of the candidate to keep them reasonably informed of the decisions made by the APT Review Committees and the administrators at the unit level and College levels of review. As such, the recommendations of the subcommittee are designed to promote clarity and consistency in the timing of notification received by the candidate from department Chairs and Deans. For example, the recommended language is now explicit that "if both the Department APT Review Committee's and the Chair's recommendation are negative, the Chair must inform the candidate by letter sent by certified mail within two weeks of the date of the decision *by the Chair*." The same time period is stipulated for notification from the Dean contingent on his or her decision. In addition, we recommend that the outcome of the review (i.e., both the APT Review Committee and the administrator are positive, both are negative, or are mixed in their respective assessments) be disclosed by both the Chair and the Dean as the current APT Policy does not require the Dean to include a summary of the considerations in his/her letter to the candidate if the 2nd level decisions by the Dean and Faculty are both positive.

Finally, when candidates are denied tenure and/or promotion at a lower level of review, a letter from the Dean to the candidate needs to certify that the decision comports with both procedural and substantive due process (not just procedural due process) and sent within two weeks of the decision by the dean that informs the candidate of the outcome, the procedural appropriateness of the review, and the consequences of this denial (APT Policy Section **Error! Reference source not found.**. If the Dean believes that the candidate did not receive due process, he/she shall direct the first level unit to reconsider.

Guiding Principle

To foster transparency of the promotion and tenure process within the constraints posed by the need for confidentiality of all evaluative materials.

Relevant Language in University Documents

Page 14 (lines 27 to 36):

The candidate must be shown the Summary Statement at least two weeks before the Department deliberates about the candidate's case. Candidates must certify in writing that they have seen the document (which may be achieved by signing the document), and must be allowed to draft a rejoinder before it is used by the Department APT Review Committee as a basis for its discussion and vote. The date on this report (and any rebuttal by the candidate) must predate the meeting on which the case is decided. If there is a rejoinder, the summary must acknowledge receipt and consideration of the rejoinder (APT Policy Section IV.A.6, page 67). *To facilitate production and "certification" of the report, Departments should inform candidates in advance of deadlines for reviewing the Summary Statement and for return of the signed Statement with any rejoinder.*

Page 21 (lines 17 to 22):
<u>Denial at the Department Review</u>
If both the Department APT Review Committee's and the Chair's recommendation are negative, the Chair must inform the candidate by certified mail within two weeks of the date of the decision. The letter should state the faculty decision and the administrator's decision and summarize briefly in general terms the reason for the denial. This letter should include the APT vote (APT Policy IV.D, page 71; see Appendix B, page 43, for examples).

Page 22 (lines 1 to 7):
THE CHAIR'S RESPONSIBILITIES
Notifying candidates in writing, summarizing the Chair's and Department APT Review Committee's decisions and reasoning within two weeks of the Committee's decision meeting (APT Policy Section IV.D, page 71; Appendix A, page 39). A copy of this summary letter should be available for faculty who participated in the deliberations who wish to see it, and it should be included in the dossier. If both the Department APT Review Committee and Chair vote to deny tenure and/or promotion, the letter must be sent by certified mail (APT Policy Section IV.F.6, page 73).

Page 23 (lines 24 to 31):
<u>Dean's Notification to Candidate</u>
When either the College APT Review Committee or the Dean make a negative recommendation, the Dean must: **(1) write a brief letter to the candidate summarizing the nature of the considerations on which the negative decision was based, (2) allow the Chair of the College APT Review Committee to review and, if necessary, correct the information in the summary letter, and (3) include this letter in the dossier directly following the Dean's letter (APT Policy Section IV.D, page 71)**. Members of the College APT Review Committee may see the Dean's letter. A summary is not necessary if both College-level recommendations are positive.

Page 28 (lines 28 to 32):
Whenever either or both faculty and administrator recommendations are negative at higher levels of review, a letter must be sent to the candidate summarizing in general terms the nature of the considerations on which those

decisions were based (APT Policy Section IV.D, page 71). The College-level notification letter should be included in the dossier file appended to the Dean's letter and should be sent by certified mail.

Page 33 (lines 29 to 30):
3. Candidate Notification from Dean
If either the College APT Review Committee or the Dean has made a negative recommendation, the dossier must include a letter from the Dean to the candidate that explains the recommendation.

POLICY section: Page 67 (lines 39 to 41) and continue to Page 68 (lines 1 to 3):
The Summary Statement shall be factual and objective, not evaluative. The Summary Statement shall be reviewed by the candidate at least two weeks before the meeting at which the academic unit begins consideration of its recommendation on tenure and/or promotion. If the candidate and the committee cannot agree on the Summary Statement, the candidate has the right and the responsibility to submit a Response to the Summary Statement of Professional Achievements for the consideration of the voting members of the review committee and the academic unit must note the existence of the Response in the unit's Summary Statement.

Best Practices from Peer Institutions

The University of California at Berkeley – At least 5 days before the faculty meeting scheduled to determine the departmental recommendation, the candidate is provided the opportunity to inspect non-confidential materials (to ensure completeness).

The University of California at Berkeley – Informs the candidate that he/she may indicate individuals who might not be objective (both internal and external reviewers). The candidate must provide a written statement with reasons which will be included in the review file, but will be accessible only to administrators.

Recommendations

Recommendation 1: Standardize candidate notification across the unit or Departmental level and the College level. More specifically, the Dean will notify the candidate in the same way that the Chair is required to do now (using the same language in the guidelines).

Recommendation 2: Need to clarify that a notice needs to be sent to the Candidate after the Committees' decision and the Chair's decision within two weeks of the decision by the Chair.

Recommendation 3: The candidate should be allowed to submit names of individuals as letter writers who would not provide objective reviews and in the guidelines, and the candidate is required to provide a reason for each such letter writer.

Recommendation 4: CV, Reputation of publication outlets, personal statement, summary statement of professional achievements, student evaluation data, and mentoring, advising,

& research supervision sections should all include that they must be signed & dated by the candidate in the appropriate section of the guidelines.

APT Policy Revisions

IV.A.6 **First-Level Review**, New Language indicated by addition of underlined text:

> The Summary Statement shall be factual and objective, not evaluative. The Summary Statement, Reputation of Publication Outlets, Student Evaluations of Teaching, and the Record of Mentoring/Advising/Research Supervision, unit criteria for tenure and promotion, agreement of modified criteria (if applicable), and a sample of the letter soliciting external evaluation shall be reviewed by the candidate at least two weeks before the meeting at which the academic unit begins consideration of its recommendation on tenure and/or promotion….

IV.D. **Notification to Candidates**, add underlined text, remove strikeout:

> Upon completion of the first-level and second-level reviews, respectively, the unit administrator at each level at the first level shall within two weeks of the date of the decision: (1) inform the candidate whether the recommendations made by the faculty committee and the unit administrator were positive or negative (including specific information on the number of faculty who voted for tenure and/or promotion, the number who voted against, and the number of abstentions), and (2) prepare for the candidate a letter summarizing in general terms the nature of the considerations on which those decisions were based. In the case of new appointments, inclusion of he vote count is not required. At higher levels of review, summaries shall be provided to the candidate whenever either or both faculty and administrator recommendations are negative. The Chair of the faculty committee shall review the summary letter prepared by the unit administrator in order to ensure that it accurately summarizes the considerations regarded as relevant by the faculty to ensure that it accurately summarizes the considerations regarded as relevant by the faculty committee at that level.

Guidelines Revisions

Under **The Candidate's Responsibilities** – Bullets 3-4, add underlined text, remove strikeout:

> …It is a good idea to nominate more than three, in case one of your the nominees is not available to serve as an external evaluator. In this selection process, the candidate may also indicate other individuals who might not be expected to give an objective review. In this case, the candidate must provide a written statement with reasons, which will be filed with the unit head and accessible to faculty involved with selecting external reviewers for the review.

> Providing a teaching portfolio with documentation (e.g., syllabi, examinations, instructional materials, teaching evaluations).

Under **Summary Statement of Professional Achievements**, add underlined, remove strikeout:

…The candidate must be shown the Summary Statement, Reputation of Outlets, Student Evaluations of Teaching, and the Record of Mentoring/Advising/Research Supervision, the Department's promotion criteria, any approved agreement of modified unit criteria relevant to the candidate, and the sample letter sent to external evaluators at least two weeks before the Department deliberates about the candidate's case. In some cases, these elements all may be contained in the Summary Statement. Candidates must certify in writing that they have seen ~~the~~ these documents (which may be achieved by signing the documents), and must be allowed to draft a rejoinder before it is used by the Department APT Review Committee as a basis for ~~its~~ discussion and vote. The date(s) on ~~this report~~ these materials (and any rebuttal by the candidate) must predate the meeting on which the case is decided. If there is a rejoinder, the summary must acknowledge receipt and consideration of the rejoinder (APT Policy Section IV.A.6). *To facilitate production and "certification" of the report, Departments should inform candidates in advance of deadlines for reviewing the Summary Statement, Reputation of Outlets, Student Evaluations of Teaching, and the Record of Mentoring, Advising/Research Supervision and for return of the signed ~~Statement~~ documents with any rejoinder.*

Under **Denial at the Department Review**, new language indicated by addition of underlined text:

If both the Department APT Review Committee's and the Chair's recommendation are negative, the Chair must inform the candidate by letter sent by certified mail of the decision within two weeks of the date of decision by the Chair. The letter should state the faculty decision and the administrator's decision…

…If no error has occurred, the Dean must write a letter to the candidate, copying the unit head (a) stating that the case has been reviewed to ascertain that there was no violation of substantive or procedural due process, and (b) where appropriate, specifying the date of termination of employment (APT Policy Section IV.A.5)

Under **Dean's Notification to Candidate**, add underlined, remove strikeout:

~~When either the College APT Review Committee or the Dean make a negative recommendation, the Dean must: (1) write a brief letter to the candidate summarizing the nature of the considerations on which the negative decision was based, (2) allow the Chair of the College APT Review Committee to review and, if necessary, correct the information in the summary letter, and (3) include this letter in the dossier directly following the Dean's letter (APT Policy Section~~ **Error! Reference source not found.**~~, page~~ **Error! Bookmark not defined.**~~). Members of the College APT Review Committee may see the Dean's letter. A summary is not necessary if both College-level recommendations are positive.~~

The Dean must notify candidates in writing, regardless of the outcome, summarizing the Dean's and the College APT Review Committee's decisions and reasoning, and

the numeric vote within two weeks of the Dean's decision (APT Policy Section IV.D.). In cases of new appointments, inclusion of the vote count is not required. A copy of this summary letter should be available for faculty who participated in the deliberations who wish to see it, and it should be included in the dossier. The Chair of the College APT Review Committee may review and, if necessary, correct the information in the summary letter. In the event that the Chair of the College APT Review Committee and the Dean are unable to agree on the appropriate language and contents of the summary letter, each shall write a summary letter to the candidate. A copy of all materials provided to the candidate shall be added to the tenure or promotion file as the case proceeds through higher levels of review.

Under **Dean's Responsibilities,** 7th bullet, add underlined, remove strikeout:

- When candidates are denied tenure and/or promotion at a lower level of review, certifying the procedural and substantive appropriateness of the review, and writing a letter sent by certified mail to the candidate within two weeks of the decision that informs the candidate of the outcome, ~~the procedural~~ appropriateness of the review, and the consequences of this denial (APT Policy Section **Error! Reference source not found.**~~, page Error! Bookmark not defined.~~)…

Under **Dean's Responsibilities**, 11th bullet, remove strikeout:

- ~~When either the Dean or the College APT Review Committee make(s) a negative APT decision, w~~ Writing a brief summary letter informing the candidate, the Department Chair, and Chair of the Department APT Review Committee summarizing the outcome of the College APT Review Committee's and Dean's deliberations, and the rationale behind it. (APT Policy Section IV.D)

Under **The Appeals Process**, add underlined:

The Committee will meet with the Appellant, and other parties, and investigate the case, as it deems appropriate (APT Policy Section V.B.1.d.3). If there were any objections to evaluators submitted by the appellant during the process of selection of external reviewers, this information may be requested. The Committee may not substitute its academic judgment for the judgment of those in the review.

Under **ELEMENTS OF THE DOSSIER**, add underlined, remove strikeout:

17. Candidate Notification from Dean
~~If either the College APT Review Committee or the Dean has made a negative recommendation, the dossier must include a letter from the Dean to the candidate that explains the recommendation.~~ The Dean must inform the candidate of the second-level APT Review Committee's decision and the Dean's decision within two weeks of the date of the decision by the Dean. This letter is included in the dossier.

Background & Rationale

The tenure process, both assembling the dossier and proceeding through the various committees, is a lengthy one. The standard process has been an impediment to hiring well-established faculty from the outside.

Guiding Principles

Hiring of the highest quality faculty is critical to the mission of the University of Maryland. In this regard, attracting "star" professors can have a strong, positive impact.   Inflexibility in the APT process and the length of time required to get dossiers approved in the current system can work against the hiring of "star" professors. Accordingly, processes with regard to these hires should be rigorous but reasonable.

Relevant Language in University Documents

Policy

> No relevant language in current policy.

Guidelines

> No relevant language in current guidelines.

Best Practices from Peer Institutions

We were not able to locate any procedures with regard to APT process for star professors. There are, however, ways that other schools expedite the procedures for faculty hired from the outside with tenure.

Ohio State has a section on appointments at the senior rank, where there is review and recommendation by the TIU (tenure initiating unit) P&T committee, TIU Chair, and College Dean. However, it is noted that consultation with the College's Promotion and Tenure Committee is at the discretion of the Dean for such appointments.

Wisconsin gives power to the Dean to make an appointment at Full or Associate level "contingent upon review by the appropriate Divisional Committee."

Illinois has a section on Faculty Appointments with Tenure, which clearly provides some streamlining from the normal process: "If a unit recommends a tenured appointment on the basis of an open search, some of the letters normally would be obtained upon the candidate's direct request to the evaluator. It is acceptable to include such letters in the

supporting documents, even though it would not be in a local promotion case; however, among the external letters ought to be a majority that were sought by the unit without the candidate's intervention."

Recommendations

We recommend that an option be put in place whereby both the process and dossier can be streamlined. To qualify for this streamlined process, candidates would be nominated by both the Chair and the Dean and approved by the Provost. Such candidates normally would hold tenure and the comparable rank at a peer university. The streamlined process could also be used for administrative hires.

Streamlined dossier: Letters from the search could be used, as in the Illinois process; at least half of the letters would be solicited by the department as per normal APT practices. The personal statement and the candidate's summary statement could be made optional, and the CV would not require the candidate's signature.

Streamlined process: The first level review would take place per usual. However, both the Dean and the Provost level reviews would be expedited.

Additionally, for College Park Professors and University of Maryland Professors, we recommend that the renewals of appointments be required every three years, rather than annually.

APT Policy Revisions

Section I.F.10. College Park Professor [add underlined language, remove strikeout]:

> …Initial appointment is for three years and is renewable ~~annually~~ every three years upon recommendation to the Provost by the unit head and ~~d~~Dean….

Section I.F.11. University of Maryland Professor [add underlined, remove strikeout]:

> …Initial appointments are for three years and are renewable ~~annually~~ every three years upon recommendation to the Provost by the unit head and ~~d~~Dean….

Guidelines Revisions

Add new section after APPOINTMENTS TO SENIOR FACULTY RANKS:

EXPEDITED APPOINTMENTS

In cases where a unit has identified a potential faculty hire it has reason to believe is highly competitive and warrants an expedited review (sometimes referred to as a "target of opportunity" appointment), the review process can be streamlined or expedited. It is anticipated that there would be relatively few appointments of this nature. To qualify for this streamlined process, candidates would be nominated by both the Chair and the Dean and approved by the Provost's Office. Such candidates normally would hold tenure and the comparable rank at another institution. The streamlined process could also be used for scholars considered for administrative positions. Appointments at this level for consideration of tenure could substitute three evaluative letters from the search process for the three external reviewers nominated by the candidate, and the candidate's CV submitted in connection with the search may be used, and need not be signed. The review process would proceed as follows: (1) the first-level review would take place per current practice in that unit; (2) a review by a three-person ad-hoc committee formed by the Dean (composed of current College APT Review Committee members); (3) a review by the College Dean; and (4) a review by the Provost and final decision by the President. For non-departmentalized Colleges, the review at the campus level should include a review by an ad-hoc committee formed by the Provost with a minimum of three persons drawn from members of the current University APT Review Committee.

Background & Rationale

Item 10 of the Provost's and Senate's charge says:

> Consider developing a standard dossier format based on best practices at our peer institutions.

The current structure of the APT dossier was designed to help administrators assemble paper copies of the dossier. All levels now review electronic copies of dossiers and so we can now re-consider the structure of the dossiers.

Guiding Principles

- APT dossiers often contain some material that is repetitive and some material that is not central for the review of APT cases. As a consequence, dossiers are often unnecessarily long (sometimes more than 100 pages) and the review of cases is far more cumbersome than it should be.
- The goal is to develop a standard format for APT dossiers that will make the evaluation of cases more efficient and will facilitate a full and fair review of each candidate.
- A standard format for the CV would facilitate "digestion" and comprehension of the record of scholarship, instruction, and service generated by a given faculty member by peer evaluators (i.e., APT review committees) across disparate disciplines.

Relevant Language in University Documents

The elements of the APT dossier are described on pages 33-36 of the Guidelines. We have included that section of the Guidelines as Appendix A.

Best Practices from Peer Institutions

There are some differences in the structure of the APT dossiers but all are roughly similar to the UM dossier. Some order the elements differently than we do and some specify a preferred length; we discuss these issues below.

A number of other universities including Penn State and Ohio State structure dossiers along the proposed lines in the Recommendations.

Recommendations

As the campus APT guidelines explain, "… there are ordinarily six sets of recommendations to the President. The order of review is from the most specific level, the Department APT Review Committee and Chair, through the College APT Review Committee and Dean, to the Campus APT Review Committee and Provost." Dossiers, however, are in reverse order with the Provost's evaluation at the front and the department's evaluation at the back. As a consequence, those who are in the best position to evaluate a candidate (the department APT committee) speak last.

We should re-organize dossiers as follows:
- Department APT committee
- Department chair
- College APT committee
- Dean
- Campus APT committee

This new structure will reduce repetition.
- Department review committee reports should include a full, comprehensive evaluation of the candidates' research, teaching, and service.
- Recommendations from higher levels can be very brief. In many cases, they can simply say that they agree completely with the department's evaluation and that they support promotion without reservation.
- There will be exceptions to this general rule.
    - If higher level reviews disagree with the department's judgment the letter should explain the reason for this dissent carefully.
    - Higher level s may consider issues that were not discussed in the department's letter. A dean, for example, might argue that the candidate is very valuable to other units in the college.

Move the candidate's curriculum vitae and teaching and research statement near the front of the dossier; it is currently placed near the end. These statements and the CV can provide a useful context for the evaluation of a candidate but they cannot serve this function very well if they come at the end of an APT package.

Place the material on teaching and advising earlier in the dossier in order to emphasize the importance of teaching and advising in APT decisions.

The Office of Faculty Affairs should update any documents in Guidelines and in forms of the APT Process to reflect new order.

Comparison of current and proposed structure of the APT dossier

Current and Proposed Structure of the APT Dossier

Current	Proposed
Transmittal Form	Transmittal Form
Dean's Letter	Curriculum Vitae
Candidate Notification from Dean	Personal Statement
College APT Report	Department APT Report
Department Chair's Letter	Advisory Subcommittee Report
Promotion Criteria	Optional Minority Report
Candidate Notification from Chair	Promotion Criteria
Department APT Report	Department Chair's Letter
Advisory Subcommittee Report	Candidate Notification from Chair
Optional Minority Report	College APT Report
Candidate's Summary Statement	Dean's Letter
Letter Log of Evaluation Requests	Candidate Notification from Dean
Declines from Evaluators	Student Evaluation Data
Credentials of External Evaluators	Peer Evaluation data
Sample Letter Requesting Evaluation	Mentoring, Advising & Research Supervision
Responses of External Evaluators	Reputation of Publication Outlets
Curriculum Vitae	Letter Log of Evaluation Requests
Reputation of Publication Outlets	Declines from Evaluators
Personal Statement	Credentials of External Evaluators
Student Evaluation Data	Sample Letter Requesting Evaluation
Peer Evaluation data	Responses of External Evaluators
Mentoring, Advising & Research Supervision	--

APT Policy Revisions

No changes to Policy.

Guidelines Revisions

Change order of dossier elements to the proposed order in Recommendations.

ELEMENTS OF THE DOSSIER

The items below are numbered, as they are in the reference list at the bottom of the transmittal form. However, you do not need to include the numbers in the bookmark text of the dossier file. The numbers are included simply as an aid to organizing these materials.

1.   Transmittal Form

Check the accuracy of information on the transmittal form carefully, particularly the record of votes, the dates of meetings, and the type of appointment (e.g., nine month, twelve month, etc.). For new appointments, a separate letter with the proposed salary and start dates must be sent to the Faculty Affairs Office when the dossier is uploaded to the APT website (See New Faculty Appointment Form, page **Error! Bookmark not defined.**).
Candidate's Name: Give the candidate's full legal name.
UID No: Avoid disclosing Social Security Numbers by listing University ID number.
Citizenship: Tenure is granted to non-U.S. citizen candidates contingent on their possession of a visa status that permits continued employment by the University.
Summary of Votes: Record the number of: (1) positive votes, (2) negative votes, (3) mandatory abstentions, (4) voluntary abstentions, and (5) absences due to leaves, illnesses, etc. The sum of the numbers in categories 1- 5, which will be automatically calculated on the transmittal form, should equal the total number of faculty members eligible to vote in the relevant APT body. Numbers recorded on the transmittal form must match numbers reported in APT Review Committee Reports.
When filling out contact information, be sure to include the department for the college APT spokesperson.

2.   Dean's Letter

Make sure the date on the Dean's letter agrees with the date on the transmittal form. Also, remember that the text of the Dean's letter must be searchable.

3.   Candidate Notification from Dean

If either the College APT Review Committee or the Dean has made a negative recommendation, the dossier must include a letter from the Dean to the candidate that explains the recommendation.

4.   College APT Report

This report must include the date of the meeting and the names of the Committee members. **The report should include a statement of the exact vote and the reasons for the recommendation (APT Policy Section** Error! Reference source not found.**, page** Error! Bookmark not defined.**).** Check to be sure the meeting date and votes match what is on the transmittal form. The text of the report must be searchable.

5.   Department Chair's Letter

Make sure the date on the letter matches the date on the transmittal form. Remember that the text of the letter must be searchable.

6.   Promotion Criteria

The Department's APT criteria and agreement of modified unit criteria (if applicable) must be included in the Dossier. The text of the promotion criteria any agreement must be signed and dated by the candidate for inclusion in the dossier, and must be searchable.

7.   Candidate Notification from Chair

The notification letter must be sent to promotion candidates within two weeks of the submission of the dossier to the next level.

8.   Department APT Report

The department APT report must include the date of the meeting and the exact vote. Make sure the report matches what is on the transmittal form. The text of the report must be searchable.

9.   Advisory Subcommittee Report

Technically, the information included in this report is a part of the Department APT Report. In some instances, this information will not be provided as a separate document.

9a.   Optional Minority APT Report

If such a report is included, it must be signed by its authors.

10.   Candidate's Summary Statement

This statement of the candidate's accomplishments is often written by the Advisory Subcommittee members or a representative. The statement must be reviewed by the candidate at least two weeks before the full Department APT meeting; the candidate must sign and date the report to indicate that he or she agrees with the contents. The candidate may wish to draft a rejoinder to the report, which would also be signed and dated, and would be included directly after the Summary Statement in the dossier.

11.   Letter Log of Evaluation Requests

This is a list of all external evaluators to whom a formal request for evaluation was sent, even if the evaluators do not reply or decline to write a letter. Some evaluators are suggested by the candidate and others are identified by the department APT committee, and this must be indicated on the letter log. In addition, the letter log should indicate if an evaluator declined to write a letter, or did not respond to the request. There is a letter log template available on the Faculty Affairs website, or you can create your own, as long as all the requisite information is included.

12.   Declines from Evaluators

If an evaluator declines to write, his or her message to that effect – whether it is an email or a letter – must be included in the dossier. You can easily make a searchable PDF from an email by choosing Print from the file menu, and then changing the printer to "Adobe PDF." You will be prompted to enter a file name, and then depending on how Acrobat is installed on your computer, the file may open in Adobe, or you may have to open it yourself.

13. Credentials of External Evaluators

Credentials of the external evaluators should be briefly summarized in a single document under this bookmark. Each evaluator's credentials should be provided in a paragraph. Remember that this document must be searchable.

14. Sample Letter requesting Evaluation

This sample letter should be dated.

15. Responses of External Evaluators

Organize the external evaluator responses according to the requestor. So, the letters from evaluators suggested by the candidate would come first, and those requested by the unit would come second. Give each letter a separate bookmark that includes a C for candidate or a U for unit (e.g., C – Smith; U – Jones). It is also helpful if the letters are included in alphabetical order by last name within each of these subcategories.

16. Curriculum Vitae

The candidate's CV should be in the format recommended by the University. A template is available on the Faculty Affairs website. The CV must be signed and dated by the candidate to indicate that it is complete and current; this signed and dated copy will be sent to external evaluators. If there are subsequent changes to the candidate's credentials, such as additional funding or new publications, they may be recorded as an addendum to the CV, which can then be included in the dossier. The addendum must also be signed and dated. The entire CV, including addenda, must be searchable.

17. Reputation of Publication Outlets

The information contained in this document will vary according to discipline. However, the document is most useful when it refers only to the outlets where the candidate's work appears and uses objective metrics to assess publication impact. A tabular format is preferred for presenting this information. If appropriate, citation counts should be included below the table, as well as a calculation of the candidate's h-index or other field-accepted metric. See the example below.

Journal	No. Of Articles	Impact Factor	Acceptance Rate
Psychological Review	5	4.3	15%
Cognition	10	2.3	20%
Child Development	15	1.9	22%

18. Personal Statement

The candidate's personal statement should be relatively short (3-4 pages), and directed toward readers who are not specialists in the candidate's field. Like the other materials provided by the candidate, it must be signed and dated.

19.   Student Evaluation Data

These evaluation scores are an important indicator of teaching ability. They must be clearly presented so that they can be easily evaluated at all levels of review. An Excel [spreadsheet template](#) is available from the Faculty Affairs website, or you may wish to create your own. However, there are some elements that are essential:

a) Course numbers and terms when the course was taught must be clearly marked.
b) Include the number of students completing the evaluation.
c) Include the college mean for courses at the same level as the course being summarized.
d) Include a calculation of the average for the candidate and for the college, for each course, and for each semester the course was taught. The spreadsheet template will calculate these averages automatically.
e) Do not include the output from the Course Evaluation website in this dossier. If the candidate wishes to include it, it may be added to the supplemental teaching dossier.

If your college does not use the university standard course evaluation system, there should also be an explanation of the rating system that is used, as well as a sample questionnaire.

20.   Peer Evaluations of Teaching

Include the reports of peer evaluations of teaching. If peer evaluation does not take place in your department, include a memo from the chair to that effect.

21.   Mentoring, Advising & Research Supervision

This bookmark may jump to the appropriate page in the candidate's CV, unless there is additional information about these activities not appropriate to the CV. If you are bookmarking to a page in the CV, set the bookmark to the exact page, rather than to the beginning of the CV. There is no need to include a separate page here which merely refers to the CV. If there *is* a document with information here, it should also include the entire CV section on mentoring, advising, etc.