

**Earth System Science Interdisciplinary Center**  
**Appointment, Evaluation and Promotion Guidelines and Procedures**  
**Professional Track**  
Updated 13 July 2023

## **Introduction**

CMNS introduced updated guidelines for the appointment, evaluation, and promotion (AEP) of the Professional Track Faculty in 2016. The document is included as Appendix A. CMNS has defined the criteria that are to be considered in this process (Appendix B). Both documents should be read by those interested in a promotion.

**All new Research hires into ESSIC will receive a copy of this policy and/or instructions on how to access it on the ESSIC website. This policy is intended to ensure that specific PTK titles shall correspond to the majority of the appointees' efforts, as indicated by their assignments and expectations. All ranks shall be appropriate given ESSIC's specific criteria for such rank.**

In the following sections we outline implementation of the AEP process within ESSIC for the Research Track (section I) and the Specialist Track (section II). General guidelines for the AEP process are presented in Section III and Implementation of the process in Section IV.

## **I. Research Track**

(Assistant Research Scientist, Associate Research Scientist, Research Scientist)  
(Assistant Research Professor, Associate Research Professor, Research Professor)

### **I.1 Excerpts of University and CMNS Criteria (See complete documents in Appendices A and B)**

The research achievements of all research faculty will be evaluated on the quality of their contributions to knowledge in the context of the research mission of the individual departments and institutes, as evidenced by:

***1.1.a*** Published work in books, journals, and leading conferences, written evaluations by premier people in their specific research field, awards, prizes, inventions, patents, and other recognitions, and, as appropriate, their record of competitive funding.

***1.1.b*** Research accomplishments and leadership that advance the state of knowledge via **documented instrument development, algorithm development, numerical model development, and data set generation** may also be weighed when considering Research Faculty appointments and promotions and **can be the primary criteria for scientists whose work emphasizes these contributions.**

- *Refereed journal articles (including assessment of journal's "impact")*
- *Technical reports, books, non-refereed publications*
- *Recognition in your field*
- *Proposal activity/Funding history*
- *Algorithm/Model/Dataset Development*
- *Award and/or task management*
- *Letters of reference*
- *Other (awards, honors)*
- *Teaching and Mentoring*
- *Service to community*

## I.2 ESSIC Metrics for the CMNS Criteria

### I.2.a Metrics Categories for Research Track

As per the CMNS policies (Appendix A, section 13), these criteria are to be considered within the expectations of the candidates' contract, and ESSIC accordingly applies different weights to these criteria on an individual basis for each candidate.

	Assistant Research Scientist	Associate Research Scientist	Research Scientist
<b>Project Development</b>	Uses innovative techniques to modify or extend existing theories and practices for application to important problems.	Displays judgement, creativity, and foresight in guiding R&D projects of limited scope and/or complexity.	Conceives, plans, and guides research, development, or operational projects that set new standards and create new methods.
<b>Work Management</b>	Handles specific responsibilities within a larger team; May provide guidance to more junior scientists and technicians.	Has latitude to pursue efforts that support the overall unit mission; Supervises small numbers of technicians, students, etc.	Works with considerable independence; Formal or informal supervision or coordination of Co-Investigators, technicians, students, etc.
<b>Community Service</b>	Serves as a scientific peer reviewer and on professional meeting panels.	Serves on review panels, workshops, and conference organizing panels.	Participates in national scientific boards; Leadership of professional meetings and/or special sessions; Chairs scientist review panels.
<b>Educational and Public Outreach (EPO) Research and Professionalism</b>  <b>Communication Reputation</b>	Contributor to activities led by others.	Lead or primary participant in one or a few EPO activities.	Leadership in defining programs, writing articles, and presenting science to educational and public audiences.
	Publication of results from scientific research as part of multi-author team or group, occasionally as first author. Presents papers at conferences.	Authorship of papers that are accepted as important contributions within a particular specialty field; Presents contributed and invited papers at professional meetings.	Published papers as corresponding or lead author of considerable scope and complexity that have significant impact on a broadly-defined field; Invited speaker at international conferences.
	Emerging reputation among peers as a significant contributor to an R&D field.	Well-known and respected by peers on a local or national level within a particular R&D field.	Nationally or internationally known and respected for contributions to broadly defined R&D fields and/or projects.

*Table I: Metrics categories used for the Research track. Research Associate (Postdoctoral Associate) is not a promotable rank (transitions to Assistant Research Scientist are handled as a new appointment), so metrics are used for appointments and career development for this rank.*

Quantifiable metrics, such as the number of citations, h-index, and journal's citation factor, may also be used by the candidate who wants to highlight the relevance of their work.

### ***1.2.b Algorithm Development /Model Development /Dataset Development***

**Algorithm and Model Development** should follow the standards in Computer Science and Engineering. In this field, premier conferences may be more selective than premier journals. Applicants that wish to cite presentations at premier conferences in their cv should identify and justify such conferences with criteria that can be used for evaluation by the subcommittee. For example, the candidate could show evidence that a Conference has a strict selection process, where only, e.g., 20% of submissions are accepted.

**Dataset Development:** Candidates should provide evidence that data are registered, and a DOI number was assigned, that the data are stored in a public site, and that the datasets have been published in Data Journals (e.g., Geoscience Data Journal or Nature's Scientific Data).

### ***1.2.c Other***

Other elements to be evaluated include:

- Demonstrated leadership; service; committees; project leadership;
- Recognition among peers; national; international.

## **1.3 Implementation of the ESSIC AEP Process**

The ESSIC PTK Research AEP process establishes the procedures for the evaluation of candidates for appointment and promotion to ensure equitable treatment of each candidate.

### ***1.3.a Material to be submitted by the candidate***

Candidates for appointment or promotion to the ranks of

- (1) Assistant Research Scientist or Assistant Research Professor*
- (2) Associate Research Scientist or Associate Research Professor*
- (3) Research Professor or Research Scientist*

must submit an appropriate cover letter addressed to the Director with:

- (1) An accurate curriculum vitae (cv) detailing their academic and professional achievements.*
- (2) A written Personal/Research Statement advocating their case for appointment or promotion based on the facts in their c.v., on the applicable Criteria for Promotion (1.2 and 1.3 above), and on their perspective of those achievements in the context of their discipline.*

Both the cv and the Personal/Research Statement should contain the information described in the University APT Manual (<https://faculty.umd.edu/policies/documents/APTManual.pdf>) and must be signed and dated. A template (very general, since it is intended for any possible

campus position) for the cv can be found at <https://faculty.umd.edu/policies/documents/CVTemplate.docx> - this format can be adapted as appropriate for the candidate's experience. More broadly, the campus is transitioning to increased use of the web-based Faculty Success for material submission and ESSIC is evaluating how this might be used to support the review process.

The candidate may also submit the names and contact information of 2 (for promotion/appointment to Assistant)/4 (for promotion/appointment to Associate or above) appropriate experts knowledgeable in their field from whom letters of reference may be requested.

**134.b AEP subcommittees**

The ESSIC PTK Research AEP process will utilize three subcommittees, one each responsible for the following appointments and promotions:

- (1) Assistant Research Scientist and Assistant Research Professor*
- (2) Assistant to Associate Research Scientist and Associate Research Professor*
- (3) Associate to Research Professor/Scientist*

<b>Promotion or Appointment</b>	<b>AEP sub-committee members</b>
Associate to Research Professor/Scientist	5 research scientists/professors
Assistant to Associate Research Professor and Associate Research Scientist	5 members with associate or higher rank
Assistant Research Professor and Assistant Research Scientist	7 members with assistant or higher rank

- i. Each subcommittee will have five or more members renewable every three years and will include at least 1 Tenure/Tenure Track (TTK) Faculty member and at least 1 Professional Track (PTK) faculty member.
- ii. Both TTK and PTK Faculty members with ESSIC affiliation will be eligible to serve as subcommittee members.
- iii. The ESSIC Director will select a member of each subcommittee to serve as Chair.
- iv. Each subcommittee should recommend replacement members to the Director at their final meeting of the year.
- v. Subcommittees will provide suggestions to the ESSIC Director for independent reviewers.

- vi. In the case where no PTK faculty member of the necessary rank(s) is available, the Director will recruit a PTK faculty member of the required rank possessing appropriate expertise from another CMNS unit.

### ***1.3.c Preparation of the sub-committee's report***

The role of the sub-committee is to summarize the candidate's credentials and qualifications and the rationale for the promotion/appointment. During the subcommittee meetings, members will carefully consider all relevant factors, including those in the list below.

1. *Articles, books ... (including assessment of journal's relevance)*
2. *Algorithm/Model/Dataset Development.*
3. *Letters of reference*
4. *Other (awards, honors...)*
5. *Teaching and Mentoring*
6. *Service*

The subcommittee chair will appoint a member to prepare an evaluative report that will include a summary of the case for promotion and a summary of the subcommittee discussions of the relevant factors listed above. The report may include a recommendation if the subcommittee chooses.

### ***1.3.d Input from the corresponding AEP committee***

The ESSIC Director will distribute candidate's full dossier, including the evaluative report, to the full APT committee for that rank, consisting of all TTK and PTK of the rank applied to, for a vote.

### ***1.3.e Calendar for AEP process***

- Aug 15: Candidates provide all required material to the ESSIC Assistant Director*
- Aug 22: Review by ESSIC Assistant Director for completeness*
- Sep 1: Internal (2 for Assistant level, 3 for Associate and above) and external (1 for Assistant, 3 for Associate and above) letters will be requested*
- Oct 1: Initial dossier complete*
- Nov 15: AEP Subcommittee report complete and submitted to the appropriate APT Committee for a vote*
- Nov 22: Vote by all TTK and PTK faculty at or above the appointment level*
- Dec 1: Final dossier, including evaluative report and APT Committee voting results submitted to Director*

- Dec 8: Director submits final dossier and recommendation for action, based on the ESSIC evaluation criteria, the Evaluative Report, and the AEP Committee vote, to CMNS for approval*
- ~Apr 1: Promotion pay increase effective for Associate Research Scientist*
- ~Jun 1: Promotion pay increase effective for Research Scientist*

**1.3.f Evaluation of the candidacy**

Candidates with at least 1 year at a promotable rank may seek a review for promotion to the next higher rank according to the calendar presented in item 1.4.d. No maximum time in rank applies to any promotable ESSIC PTK appointment unless imposed by CMNS or University policy.

The materials to be evaluated are summarized in the following table.

Appointment or Promotion	Elements of the Candidate's Dossier
Appointment to Assistant rank	Cover letter, CV, personal/research statement, letters from 2 internal and 1 external reviewer, preferably the sponsor if one is identifiable
Assistant or V. Associate to Associate rank	Cover letter, CV, personal/research statement; letters from 3 internal and 3 external reviewers, supplemented by a letter from a sponsor if one is involved; presentation of a formal seminar at ESSIC to be considered by the subcommittee in their evaluation
Associate or V. Research to Research rank	Same as for Associate

The candidates may name a scientist from ESSIC, Academic Units or a funding agency (e.g., NOAA, NASA) to act as their advocate in presenting their case to the subcommittee.

**1.3.g Salary increases resulting from promotion**

The minimum rate for salary increases resulting from the promotion process to be recommended by ESSIC is six percent of the candidate's pre-promotion salary. This salary increase is independent of, and in addition to, any merit or cost-of-living raises that are awarded through university-wide processes.

**1.3.h Provisions for Mentoring**

ESSIC is in the process of establishing a process through which professional track faculty are mentored through the different career stage transitions. In this process, each faculty member will be mentored by an ESSIC faculty member of higher rank. Mentoring will focus on choosing

a career track, strategies for meeting the criteria for AEP in this track, and the mechanics of the AEP process.

### ***1.3.i Appeals Process***

Candidates may appeal the outcome of the ESSIC AEP process by requesting a review of the case following the procedures stated in Section V of the University of Maryland Policy and Procedures on Appointment, Promotion and Tenure in the University APT Manual included by link in the references and as described in Appendix A.

### ***1.3.j Implementation Process***

ESSIC will use the online contract management system to ensure that all contracts contain necessary elements, including a clear description of assignments and expectations associated with the appointment, as well as information on how to access unit-level PTK policies and professional resources.

## **II Specialist Track**

Faculty Specialist, Senior Faculty Specialist, Principal Faculty Specialist

### **II.1 Introduction**

New guidelines for the appointment, evaluation and promotion (AEP) of Specialist Track Faculty were included in the CMNS update of 2016. These are included as item 9 in Appendix A. CMNS has defined the criteria that are to be considered in this process (Appendix B). Both documents should be read by those interested in a promotion.

**All new Specialist hires into ESSIC will receive a copy of this policy and/or instructions on how to access it on the ESSIC website. This policy is intended to ensure that specific PTK titles shall correspond to the majority of the appointees' efforts, as indicated by their assignments and expectations. All ranks shall be evaluated based on ESSIC's specific criteria for such rank.**

The table below provides guidelines on expectations for the different Specialist Track titles.



	Faculty Specialist	Senior Faculty Specialist	Principal Faculty Specialist
<b>Project Development</b>	Uses innovative techniques to modify or extend existing instrumentation and practices for application to important problems.	Displays judgement, creativity, and foresight in guiding R&D projects of moderate scope and/or complexity.	Conceives, plans, and guides research, development, or operational projects that set new standards and create new methods.
<b>Work Management</b>	Handles specific responsibilities within a larger team; May provide guidance to more junior specialists, scientists and technicians.	Has latitude to pursue efforts that support the overall unit mission; Supervises technical teams for specific projects.	Works with considerable independence; Formal or informal supervision or coordination of Co-Investigators, technicians, students, etc.
<b>Community Service</b>	Serves as a technical or scientific peer reviewer	Serves on professional committees, review panels, and workshops.	Participates in national technical boards and review panels; Leadership on professional committees and/or special meeting sessions;
<b>Public Outreach</b>	na	Leads or participates in one or a few Public Outreach activities.	Leadership in defining programs, writing articles, and presenting technical advances to public audiences.
<b>Research, Communication, Professionalism</b>	Documentation of results from technical development as part of a team or group, occasionally as first author. Includes technical reports, data sets, software. Presents papers at conferences or workshops.	Authorship of papers, reports, or data sets that are accepted as important contributions within a particular specialty field; Presents contributed and invited papers at professional meetings or workshops.	Corresponding or lead author on published papers, reports or data sets of considerable scope and complexity that have significant impact on a broadly-defined field;
<b>Communication</b>	Emerging reputation among peers as a contributor to an R&D field.	Known and respected by peers on a local or national level for technical contributions in a particular R&D field.	Nationally or internationally known and respected for technical advances in a broadly defined R&D field and/or project.

Table II: Metrics categories used for the Specialist track.

## II.2 Excerpts of University and CMNS Criteria (See complete documents in Appendices A and B)

### Faculty Assistant (entry level)

The appointee shall be capable of assisting faculty in any dimension of academic activity 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. Appointments to this rank are typically for terms of one to three years and are renewable for up to three years. After three years in rank, appointees who have performed satisfactorily may be considered for appointment to a Faculty Specialist position or encouraged to apply for a staff position.

### Faculty Specialist

The appointee shall hold a Bachelor's degree in a relevant area and show potential for excellence in the administration and/or management of academic or research programs. Faculty Specialists are expected to engage in activities such as developing curriculum and/or

innovative means for delivering curriculum, supervising the non-research activities of graduate or postdoctoral students, serving as grant writers or authors of other publications for an academic or research program, conducting specialized research duties or other such duties that would generate intellectual property to which the faculty member shall retain the rights. Appointments to this rank are typically one to three years and are renewable.

### **Senior Faculty Specialist**

In addition to showing superior ability to administer academic or research programs, as evidenced by successfully discharging responsibilities such as those of the Faculty Specialist, the appointee shall hold a Master's degree or have at least 3 years full-time experience as a Faculty Specialist (or similar appointment at another institution), or its equivalent. Appointments to this rank are typically one to five years and are renewable.

### **Principal Faculty Specialist**

In addition to a proven record of excellence in managing and directing an academic or research program, the appointee shall hold a Ph.D. or have at least 5 years of full-time experience as a Senior Faculty Specialist, or its equivalent. Appointments are typically made as five-year contracts. Appointments for additional five-year terms can be renewed as early as the third year of any given five-year contract.

### **Further CMNS requirements**

For appointment or promotion in the faculty specialist track, the following components are required:

- For appointments/promotions to the second and highest rank, an appropriate departmental faculty committee must consider the file and vote affirmatively on the case. The committee must include voting representation of faculty specialists of equal or higher rank than the rank to which the candidate is being appointed/promoted.
- There must be a written report by a departmentally appointed individual or small committee. The report summarizes the candidate's credentials and qualifications, and the rationale for the appointment/promotion.
- At least two letters are required for appointment/promotion to the highest rank. External letters are not required for the faculty specialist track.

## **II.3 ESSIC AEP General Guidelines**

### ***II.3.a Materials to be submitted by candidates and other guidelines.***

#### **New appointments in the Specialist Track**

Candidates will provide their curriculum vitae in the standard University format, a cover letter, a personal statement, and a letter of recommendation from their sponsor, if appropriate. A second letter is required for appointment/promotion to the Principal Faculty Specialist rank. External letters are not required for the faculty specialist track.

### **Promotions within the Specialist Track**

Employees at the rank of FS, and SFS may apply for promotion to the next higher rank subject to University policy. Candidates will provide their curriculum vitae in the standard University format, a personal statement, and a letter of recommendation from their sponsor (if appropriate) or other knowledgeable source. A second letter is required for appointment/promotion to Principal Faculty Specialist. External letters are not required for the faculty specialist track.

### **Transfers from Post-Doc or Research Scientist/Engineer track to the Specialist track**

A Postdoctoral Associate or Assistant Research Scientist or Assistant Research Engineer may choose to apply for appointment within the Specialist track at any time. Such events will be treated identically to new appointments as outlined above and are not considered promotion. A CV and personal statement that explains and justifies the requested transfer are required.

#### ***II.3.b Publications and proposals.***

There is no specific requirement for publications and proposal development in the Specialist track. However, Specialists at ESSIC are encouraged to publish and submit proposals for sponsor funding. Other metrics, such as number of citations, h-index, and journal's citation factor, can also be used by the candidate that wants to highlight the relevance of their work.

#### ***II.3.c Algorithm Development /Model Development /Dataset Development***

**Algorithm and Model Development** should follow the standards in Computer Science and Engineering. In this field, premier conferences may be more selective than premier journals. Applicants that wish to cite presentations at premier conferences in their cv should identify and justify such conferences with criteria that can be used for evaluation by the subcommittee. For example, the candidate could show evidence that a Conference has a strict selection process, where only, e.g., 20% of submissions are accepted.

**Dataset Development:** Candidates should provide evidence that data are registered and a DOI number was assigned, that the data are stored in a public site, and that the datasets have been published in Data Journals (e.g., Geoscience Data Journal or Nature's Scientific Data).

#### ***II.3.d Other***

Other elements to be evaluated include:

- Demonstrated leadership; service; committees; project leadership;

- Recognition among peers; national; international.

## **II.4 Implementation of the ESSIC AEP Process**

### ***II.4.a AEP Committee for Specialists***

(From CMNS) The committee must include voting representation of faculty specialists of equal or higher rank than the rank to which the candidate is being appointed/promoted.

The ESSIC PTK AEP Committee for Specialists will consist of 5 faculty members appointed by the Director of ESSIC, including at least two PTK Specialists at a higher rank than that of the candidate. In the case where no PTK Specialist of the necessary rank(s) is available, the Director will recruit a PTK Specialist of the required rank possessing appropriate expertise from another CMNS unit.

The ESSIC Director will appoint a Chair from the AEP Committee members.

The AEP Committee will evaluate all applications and supporting materials for actions involving promotion or appointment to Senior or Principal Faculty Specialist ranks. (Note that promotion or appointment to the rank of Faculty Specialist does not require AEP/APT action.) The AEP Committee will evaluate the materials and the AEP Committee Chair will prepare a brief evaluative report that summarizes the candidate's credentials and qualifications and which may include a recommendation.

The candidate's dossier and the evaluative report will be submitted for voting to the appropriate APT Committee for Specialists, which consists of all Specialists of rank equal or higher to the requested rank, together with all Research PTK faculty at the Assistant rank and above and all TTK faculty.

The Director will consider the case based on the dossier, including the evaluative report, and the vote of the APT Committee for Specialists and submit his/her decision to CMNS.

### ***II.4.b Calendar for AEP process***

*Aug 15: Candidates provide all required material to the ESSIC Assistant Director*

*Aug 22: Review by ESSIC Assistant Director for completeness*

*Sep 1: Letters (internal) will be requested.*

*Oct 1: Final dossier complete*

*Nov 15: AEP Committee report and dossier submitted to APT Committee for Specialists for a vote.*

- Dec 1: Dossier, including evaluative report and APT Committee vote, submitted to Director*
- Dec 8: Director submits final dossier and recommendation for action, based on the ESSIC evaluation criteria, the Evaluative Report, and the AEP Committee vote, to CMNS for approval*
- ~Apr 1: Promotion pay increase effective for Sr. Faculty Specialist*
- ~Jun 1: Promotion pay increase effective for Principal Faculty Specialist*

#### ***II.4.c Evaluation of the candidacy***

Candidates with at least 1 year at a specific rank may seek a review for promotion to the next higher rank according to the calendar presented in item II.4.b.

#### ***II.4.d Salary increases resulting from promotion***

The minimum rate for salary increases resulting from the promotion process to be recommended by ESSIC is six percent of the candidate's pre-promotion salary. This salary increase is independent of, and in addition to, any merit or cost-of-living raises that are awarded through university-wide processes.

#### ***II.4.e Provisions for Mentoring***

ESSIC is in the process of establishing a process through which specialist track faculty are mentored through the different career stage transitions. In this process, each faculty will be mentored by an ESSIC faculty member at a higher rank. Mentoring will focus on choosing a career track, strategies for meeting the criteria for AEP in this track, and the mechanics of the AEP process.

#### ***II.4.f Appeals Process***

Candidates may appeal the outcome of the ESSIC AEP process by requesting a review of the case following the procedures stated Section V of the University of Maryland Policy and Procedures on Appointment, Promotion and Tenure (included here under Appendix C).

#### ***II.4.g Implementation Process***

ESSIC will use the online contract management system to ensure that all contracts contain necessary elements, including a clear description of assignments and expectations associated with the appointment, as well as information on how to access unit-level PTK policies and professional resources.

### III References

University APT Manual

Faculty Handbook, APT Changes, 2015: <https://pdc-svpaap1.umd.edu/policies/changes.html>  
University Policy and Procedures for APT on faculty

CMNS Promotions Guidelines:

[https://cmns.umd.edu/sites/default/files/uploads/docs/research/cmns\\_ptk\\_policies\\_procedures\\_approved2.pdf](https://cmns.umd.edu/sites/default/files/uploads/docs/research/cmns_ptk_policies_procedures_approved2.pdf)

Patterson, D., L. Snyder J. Ullman: Best Practices Memo Evaluating Computer Scientists and Engineers For Promotion and Tenure,  
[http://archive2.cra.org/uploads/documents/resources/bpmemos/tenure\\_review.pdf](http://archive2.cra.org/uploads/documents/resources/bpmemos/tenure_review.pdf)

ESSIC On-Boarding document, [https://ebo.essic.umd.edu/policy/ESSIC\\_Onboarding-v1-2.pdf](https://ebo.essic.umd.edu/policy/ESSIC_Onboarding-v1-2.pdf)

## IV APPENDIX A

### College of Computer, Mathematical, and Natural Sciences

#### Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty

*In Spring 2015 the UM Senate passed, and the President approved, new guidelines for consideration of Professional Track (PTK) faculty<sup>1</sup>, and each college is expected to develop an implementation plan. While the primary appointment and review process is the responsibility of individual units (departments and research centers), each college must approve appointments and promotions of PTK faculty, ensuring fair and equitable treatment of all candidates.*

*In CMNS, these guidelines represent an addendum to existing guidelines for appointment and promotion of professional track faculty available in the CMNS handbook.*

*The following plan went into effect July 1, 2016.*

1. In each category (Research, Teaching, Service, and Clinical), PTK faculty can be appointed or promoted to one of three ranks, according to the candidates' professional credentials and the units' criteria for each rank<sup>2</sup>, as well as any additional criteria noted in the CMNS Chairs Handbook.
2. Initial appointments and promotions can occur at any time of the year if permitted by university policy.
3. Unit recommendations for appointments and promotion to the first and second rank in research, service, and clinical will be reviewed by the Associate Dean for Faculty Affairs. The Dean will make a final decision, and notify the unit, which will notify the candidate in writing.
4. Unit recommendations for appointment or promotion to the second rank in instruction will be reviewed by the Associate Dean for Undergraduate Education. The Dean will make a final decision, and notify the unit, which will notify the candidate in writing.
5. A unit recommendation for appointment or promotion to the highest rank within a research, service, or clinical track will be reviewed by the College APT committee, plus three PTK faculty of the highest rank from a research, service, or clinical track. This group (College APT plus 3 PTK) will operate following regular College APT rules and issue a recommendation to the Dean. A 2/3 majority of positive votes from eligible committee members who are present is required for a recommendation of appointment or promotion. If the appointment is less than 50% FTE,

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<sup>1</sup> UM Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty Passed by the Senate April 23, 2015. Approved by the President May 4, 2015.

[https://faculty.umd.edu/policies/documents/UM\\_Guidelines\\_for\\_PTK\\_Appointments.pdf](https://faculty.umd.edu/policies/documents/UM_Guidelines_for_PTK_Appointments.pdf)

<sup>2</sup> New titles are defined in the University of Maryland Policy & Procedures on Appointment, Promotion, and Tenure of Faculty.

<http://www.president.umd.edu/sites/president.umd.edu/files/documents/policies/II-100A.pdf>.

the Dean has the authority to approve/deny the appointment. If the appointment is for 50% FTE and higher, the dossier (with the Dean's recommendation) will be forwarded to a review committee constituted by the Office of the Provost. Review committees shall be charged to consider candidates within the context of the expectations in their contract as well as according to the unit's criteria for promotion.

6. A unit recommendation for appointment or promotion to the highest rank within the instructional track will be reviewed by a committee consisting of the Associate Dean for Faculty Affairs, Research and Graduate Education, the Associate Dean for Undergraduate Studies, and three Principal Lecturers. They will review the case and make a recommendation to the Dean. Lecturers from the same unit as the candidate will have a mandatory abstention. The criteria for a positive recommendation to the Dean will be that in addition to meeting the qualifications for the rank of Principal Lecturer in the University APT Policy, the candidate must have made a significant educational and/or service contribution to the Department beyond what would normally be expected of a Senior Lecturer. The dossier (with the Dean's recommendation) will be forwarded to a review committee constituted by the Office of the Provost.

7. For appointment or promotion into the rank of Senior Lecturer or Principal Lecturer the following components are required:

- A departmental faculty committee, including any existing Senior Lecturers (or Principal Lecturers for Principal Lecturer appointments/promotions) in the unit, must consider the file and vote affirmatively on the case.
- There must be a written report by a departmentally appointed individual or small committee that summarizes the candidate's credentials and qualifications, and the rationale for the appointment/promotion.
- There must be at least three supporting letters, (beyond student letters) one of which should be from the Chair, and one from a faculty member with appropriate experience of the work of the individual.
- Student input must comprise part of the dossier—for example, a detailed examination of teacher evaluation data.

8. For appointment or promotion in the research or clinical tracks (except the faculty specialist track) the following components are required:

- A departmental faculty committee must consider the file and vote affirmatively on the case. The committee must include voting representation of PTK faculty of equal or higher rank than the rank to which the candidate is being appointed / promoted.
- There must be a written report by a departmentally appointed individual or small committee. The report summarizes the candidate's credentials and qualifications, and the rationale for the appointment/promotion.
- For research and clinical tracks, at least three evaluator letters (at least one of them external) are required for appointments to the first rank; six letters (at least three of



them external) are required for appointments/promotions to the second and to the highest ranks.

9. For appointment or promotion in the faculty specialist track, the following components are required:

- For appointments/promotions to the second and highest rank, an appropriate departmental faculty committee must consider the file and vote affirmatively on the case. The committee must include voting representation of faculty specialists of equal or higher rank than the rank to which the candidate is being appointed/promoted.
- There must be a written report by a departmentally appointed individual or small committee. The report summarizes the candidate's credentials and qualifications, and the rationale for the appointment/promotion.
- At least two letters are required for appointment/promotion to the highest rank. External letters are not required for the faculty specialist track.

10. Once a decision is reached, the faculty member shall be notified in writing by the unit head or a designee. Promotions cannot be rescinded. The faculty member can appeal a negative decision based on alleged violations of procedural due process that would have had a material effect on the decision. Negative decisions for promotion do not preclude renewal of the existing PTK appointment; i.e., PTK faculty appointments are not "up or out". All appeals shall be handled according to the procedures established by the Provost's Office of Faculty Affairs and shall be initiated within the period defined in those procedures.

11. In cooperation with the Office of Faculty Affairs (OFA):

- The Dean's Office shall review and approve new or revised unit-level policies and procedures for the appointment, evaluation, and promotion of Professional Track Faculty to ensure compliance with all aspects of the campus guidelines for PTK AEP policies.
- All PTK faculty shall be provided with written appointment contracts created by the units through the OFA online system, and the contract shall include all the information required by OFA as noted in the UM Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty (Section IV), including information about the appointing unit's PTK AEP policies.
- Included in the contract, all PTK faculty will be given an explanation of the scope of the appointee's assignments and expectations for the specific faculty rank, and note the dimensions of academic activity (i.e. teaching, research, and service) as appropriate in accordance with the UM Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty (Section IV).
- Whenever possible, unit policies should include provisions to progressively increase the length of contract terms.

12. The details of the appointment, evaluation, and promotion criteria shall be specified in the unit's appointment, evaluation, and promotion guidelines as specified in the UM Guidelines for

Appointment, Evaluation, and Promotion of Professional Track Faculty (Section V). The unit guidelines should be appropriate for the specific duties and expectations of the PTK faculty and include:

- Application details, deadlines, and materials to be submitted
- Expectations as related to time between promotion reviews noting that faculty may seek early review or opt not to be reviewed
- Provisions for mentoring
- Membership of the committee that reviews PTK faculty shall include voting PTK faculty
- Policies must specify what constitutes a positive vote in the unit-level review.
- Membership of committee that reviews and revises unit-level policies and procedures for appointment, evaluation, and promotion of PTK faculty shall include voting PTK faculty representatives.
- Appeals process
- Minimum salary increases for promotions as recommended by the unit and reviewed annually by the Dean
- Merit pay policy
- Evaluative input from other units in the case of joint appointments

13. Review committees will be charged to consider candidates within the context of the expectations in their contract as well as according to the unit's criteria for promotion. Promotion decisions shall be based on individual performance and not a unit-wide quota.

14. PTK faculty may be nominated annually for the College's Distinguished Research Scientist Award, the Outstanding Lecturer Award, and the Board of Visitor's Creative Educator Award coordinated through the Dean's Office.

## V APPENDIX B:

CMNS Criteria for Appointment/Promotion to Research Faculty Ranks - July, 2013  
<https://cmns.umd.edu/faculty-staff/chairs-handbook/cmns-research-faculty-criteria>

It is the responsibility of every CMNS academic unit to bring these Criteria for Appointment and Promotion to Research Faculty Ranks to the attention of every research faculty candidate for appointment and promotion in the unit (or units, for joint appointments).

The following paragraphs provide guidance as to the criteria to be addressed in promotion and appointment dossiers for research faculty. These criteria apply fully to the positions of Assistant, Associate, and Senior Research Scientist, Assistant, Associate, and Senior Research Engineer, Assistant Research Professor, Associate Research Professor and Research Professor. In what follows, "members of the faculty" refers to research faculty holding, or being considered for, any of these nine ranks.

1. Research. All members of the research faculty must demonstrate significant research achievements in their field. Appointment/promotion at the Associate level requires research accomplishments whose originality, depth and impact establish the candidate as an important contributor to knowledge in their field. Appointments or promotions to the ranks of Senior Research Scientist, Senior Research Engineer, Research Professor require a record of research accomplishments that establish the candidate as an outstanding contributor to knowledge in their field.

The research achievements of all research faculty will be evaluated on the quality of their contributions to knowledge in the context of the research mission of the individual departments and institutes, as evidenced by published work in books, journals and leading conferences, written evaluations by premier people in their specific research field, awards, prizes, inventions, patents and other recognitions and, as appropriate, their record of competitive funding. **Research accomplishments and leadership that advance the state of knowledge via documented instrument development, algorithm development, numerical model development and data set generation may also be weighed when considering Research Faculty appointments and promotions and can be the primary criteria for scientists whose work emphasizes these contributions.** The evaluation of candidates for Assistant, Associate or Senior Research Engineers will be based on the above criteria but with emphasis on their contributions to original engineering practice, design and development.

2. Teaching and Mentoring. All research faculty are encouraged to contribute to the mentoring of students and, as appropriate, postdoctoral fellows and junior faculty, to assist in their academic and professional development. These educational functions should be carried out in a manner to complement and not negatively impact the primary research mission of the research faculty member. Additional qualifications apply to the ranks of Assistant Research Professor, Associate Research Professor and Research Professor, for which contributions to the educational mission are critical, including knowledge and breadth of subject matter, presentation skills, interest in students, development of educational methods and materials, and—if applicable—quality of teaching, as assessed from data such as student evaluations.

3. Service. To the extent permitted by federal regulations research faculty are expected to engage in service to the university and the wider professional community. This may include committee work and other university-related administrative assignments, development activity, grant application and administration, organizational or scientific endeavors in professional societies, engagement in articulating our mission to the wider community, and extramural services of a professional nature to schools, industry, local, state, and national agencies, and the public at large.