

**Department of Astronomy Plan of Organization
Bylaws 2A**

**Guidelines and Procedures for Professional Track Faculty
Appointment, Evaluation, and Promotion**

15 March 2022

I. Preamble

This document supplements the University of Maryland Policy on Appointment, Evaluation, and Promotion of Professional Track Faculty and the College of Mathematical and Natural Sciences Policy on Appointments, Evaluation, and Promotion. It shall not supersede College or University policies in force at the time of any action described in this document, although in some cases adds to the minimum requirements defined by those policies.

This plan was circulated and then discussed in a meeting of all Faculty Advisory Committee members (all PTK faculty of the second and third levels, all TTK faculty) of the Department of Astronomy on 15 April, 2019, with 21 members present. A vote was called to approve the plan with modifications discussed during the meeting. 21 votes were recorded, with 21 votes in favor of this plan, 0 opposed, and 0 abstaining. This vote is a positive vote as defined by the [Department's Plan of Organization](#). Subsequent minor updates for clarification, and the addition of Appendix 2 providing guidelines for preparation of dossier section 7, were approved at the Faculty Advisory Committee meeting on 7 October 2019. The 21 members present voted as 20 votes in favor, 0 opposed, and 1 abstaining. The Faculty Advisory Committee met via Zoom and approved minor changes and updates at its meeting on 9 November 2020. Of the 30 members present for discussion, 26 voted in favor, and none opposed (there was not a specific option to abstain). A subcommittee of the Faculty Advisory Committee proposed changes to add the Research Professor sequence to the titles in regular use. To satisfy timing constraints, the Department Chair approved the changes below as an interim working policy in consultation with the subcommittee and faculty. In accord with the Department's Plan of Organization, the department's second and third rank PTK and all TTK were invited to meet to discuss and vote on this document's current version on 20 September 2021. Of the 33 members present, 31 voted in favor, none were opposed, and 2 abstained in approving the changes. Administrative changes to Appendix I in January and March 2022 reflect Faculty Affairs' changes to the AEP research promotion package structure and corrections from the College.

II. Terminology and reference documents

Faculty

When not otherwise specified, faculty in this document refers to members of the Professional Track (PTK) faculty appointed in the Department of Astronomy. PTK faculty members directly or indirectly participate in one or more of the University's three primary missions: research, education, and service. Expectations for the amounts of independent work and support activities varies by appointment.

Reference documents

University of Maryland Appointment, Evaluation, and Promotion (AEP) guidelines at:

https://faculty.umd.edu/policies/documents/UM_Guidelines_for_PTK_Appointments.pdf

College of Mathematical and Natural Sciences Appointment, Evaluation, and Promotion (AEP) procedures at:

https://cmns.umd.edu/sites/default/files/uploads/docs/research/cmns_ptk_policies_procedures_approved2.pdf

CMNS Research Faculty Criteria at:

<https://cmns.umd.edu/faculty-staff/chairs-handbook/>

under CMNS Research Faculty Criteria

University Policy and Procedures on Appointment, Promotion, and Tenure of Faculty II(1.00-A); includes definition of the University's educational mission:

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

Department policies for mentoring, appointment, evaluation, promotion, and related items:

<https://www.astro.umd.edu/resources/policies>

III. Departmental Procedures for Appointment, Evaluation, and Promotion

University policy emphasizes a fundamental principle that: "Search, appointment, and promotion procedures shall be fair, unbiased, and impartial, and comply with institutional policies that are widely publicized and published in the Faculty Handbook." The following subsections indicate specific departmental procedures within that principle.

All new hires shall receive a copy of this policy, either in hardcopy or by link to this and related documents (e.g. mentoring) on the Department's Plan of Organization web page.

The following promotion and merit policy applies to Professional Track Faculty in the first through third ranks. Definitions of ranks, titles, and expectations for faculty are in Section V of this document. Details of required dossier elements are summarized in Appendix 1 of this doc-

ument. Faculty with appointments in more than one unit are subject to procedures negotiated by the units.

A. Appointment and promotion procedures

1. Appointment and promotion procedure for Research Scientists, Engineers, and Professors (all ranks) and Faculty Specialists (ranks two and three)

The procedures for these titles are identical except for the Departmental First Level Review Committees for the different ranks, as defined below.

In all cases: The Department Chair shall appoint an ad-hoc review Chair, and may appoint members, to an ad-hoc committee to manage each appointment or promotion case. Ad-hoc committee members must be at or above the rank of the proposed appointment. The ad-hoc review Chair is responsible for assembling the material required (generally called the AEP packet or dossier; see Appendix 1 for specific requirements) by the University and Department, submitting the materials to the department office by the deadlines given in Appendix 1, and shall be responsible for ensuring that the case is presented to committees for further discussion.

Supplemental materials (e.g. late evaluator letters) may be included for consideration by the First Level Review committee with approval of the Department Chair. The ad-hoc review Chair presents the case to the First Level Review and chairs the discussion.

The First Level Review Committees are formed as follows:

- a) The Departmental First Level Review Subcommittee and its Chair for first rank Research Scientists, Engineers, and Professors shall be appointed annually by the Department Chair. This subcommittee shall review and anonymously vote on each case. The subcommittee forwards its vote totals and the subcommittee's brief written conclusions to the Department Chair, and shall be available for the Departmental First Level Review Committee's review and approval. The subcommittee or the Department Chair may request review of any case by the Departmental First Level Review Committee; the Departmental First Level Review Committee's assessment and vote (if held) is then separately added to the Subcommittee's.

This subcommittee shall be composed as follows. Approximately 20 Professional Track Faculty members shall be drawn in numbers proportional to the numbers holding each level of Research Professor, Scientist, or Engineer at or above the first rank, and Faculty Specialists above the first rank. At least 3 Tenured/Tenure Track Faculty shall be appointed for each meeting of the subcommittee. If there are no PTK faculty at or above the level considered for promotion, the Department Chair will request guidance from the Dean of Faculty Affairs. Other persons with professional stature at or above the appointment or promotion may occasionally be allowed to

attend First Level Review Subcommittee meetings with the permission of the Department Chair and First Level Review Chair, and have a voice but do not vote.

- b) The Departmental First Level Review Committee for appointments other than Lecturers consists of all active Professional and Tenured/Tenure Track faculty members at or above the level considered for appointment or promotion with appointments in the Department of Astronomy at 50% FTE and above. If there are no PTK faculty at or above the level considered for promotion, the Department Chair will request guidance from the College's Dean of Faculty Affairs.
- c) The Departmental First Level Review Committee for second and third rank appointments for Lecturers consists of all active Lecturers and Tenured/Tenure Track faculty members at or above the level considered for appointment or promotion. If there are no Lecturers at or above the level considered for promotion, the Department Chair will request guidance from the Dean of Faculty Affairs.

Each member of the First Level Review committee or subcommittee, including the review Chair, has a single vote. The Department Chair or a designee must attend First Level Review meetings and has a voice but does not vote. Individuals with Emerita or Emeritus titles are entitled to voice but not vote. Faculty with joint appointments in another department or joint appointments on another campus of the UMD System will be entitled to both voice and vote, provided their University appointment in the Department of Astronomy is greater than 0.5 FTE. Other persons with professional stature at or above the appointment or promotion may occasionally be invited to attend First Level Review Committee meetings with the permission of the Department Chair and First Level Review Chair, and have a voice but do not vote.

In all cases the quorum for a vote is greater than half of each committee's eligible voters. Committee members who cannot attend the meeting in person are strongly encouraged to participate in the meeting electronically, with votes communicated by individuals via email to a member of the administrative staff designated by the Department Chair. Members joining remotely must be able to participate in discussion to vote.

All voting shall be by secret ballot and only vote totals will be reported (the staff member receiving votes by email shall maintain strict confidentiality regarding voter names). Proxy voting and voting without attending the meeting are not allowed.

Establishing quorum for a vote requires that at least 1/2 of members qualified to vote must be present to participate in the committee discussion. The final vote for promotion will be considered positive if more than 1/2 of the total votes are in favor of the promotion and fewer than 1/3 of the votes are opposed.

As required by University procedures, the Department Chair will add a letter to the AEP packet containing her or his independent evaluation and any other information that may be germane. This letter is not shared with the First Level Review Committee. The case is then sent to the College Associate Dean for Faculty Affairs for further review. Second-level and subsequent reviews, as needed, follow College and University procedures.

Shortly after the First-Level Review is complete, the Department Chair shall notify each candidate by electronic mail of the vote totals, whether this constitutes a positive or negative recommendation, and what the next stages of review are. The Department Chair shall promptly notify each candidate by electronic mail of final approval or rejection by the higher-level reviews. If a case is rejected, the Department Chair shall provide written information on the case's weak areas and suggestions for subsequent submissions. When possible, a promotion carries a salary increase set by the College. A new contract reflecting the promotion should follow the general policy of progressively extending the contract term to the extent possible. A promotion, once given, may not be rescinded. Negative decisions do not preclude renewal of the existing appointment, and may be appealed by procedures specified by the Office of Faculty Affairs.

2. Appointment and promotion for Faculty Specialists (first rank), Lecturer (first rank), Faculty Assistant, and Postdoctoral Associate

A department member familiar with University, College, and Departmental equity rules proposes one or more candidates. The Department Chair makes the final determinations in extending an offer.

3. Appointment and promotion for Lecturers in the second and third ranks

A department member familiar with University, College, and Departmental equity rules proposes one or more candidates for appointment, or, in consultation with the Department Chair, a candidate for promotion.

4. Appointment to Visiting positions

A faculty sponsor proposes a candidate for Visiting positions. University policy limits the length of time of a visiting appointment, typically to three years except for J-1 visa holders, where the appointment may extend to the termination date of the visa. The Department Chair reviews the recommendation before appointment and makes final determinations in extending an offer. If the Department Chair is the sole faculty sponsor, the Chair is expected to consult with relevant faculty before making an appointment.

5. Appointment to other positions

The Department Chair shall consult University and College policies to establish the process for appointments and promotions for positions not listed above. If other titles become common, this document shall be updated to reflect this.

B. Confidentiality

All materials in the review process are strictly confidential and must be returned to the Department or destroyed following the First Level Review Committee meeting. Similarly, all preliminary information (including the names of applicants, except to approved external evaluators), discussions, committee decisions, or other search- or promotion-related information are confidential and may not be revealed to anyone outside of the committee, unless allowed by University policy or with Department Chair's permission.

C. Lack of Limitations

Nothing in these guidelines is intended to limit the sources from which relevant information may be sought, within the boundaries of maintaining confidentiality in the process. In particular, the Chair of the unit, the promotion/search committee, or the First Level Review committee may seek input and advice from appropriate sources in addition to the required sources. In conformity with University policies, additional sources shall only provide information that assists in making fair, unbiased, and impartial decisions on professional merit. The candidate may make requests to the Department Chair that specific individuals will be excluded as evaluators, providing relevant information so the Chair may make a reasoned decision.

IV. Elements in evaluating candidates for appointment and promotion

Performance evaluation at the University is concerned with the candidate's performance in three areas: research, education, and service. PTK faculty activities typically strongly emphasize a subset of these areas, either directly or by supporting the activities, although activity in other areas is recognized.

Each candidate shall provide a description of the division of responsibilities within these categories, as agreed by a supervisor or sponsor if appropriate. Evaluation will be based on progress in these areas, weighted by the division of responsibilities. Minimum expectations for individuals shall be summarized in the University's electronic contract system, and shall be updated at least as frequently as at each contract renewal or major change of responsibility. Evaluation is made against the documented responsibilities at levels appropriate to rank.

The fundamental criterion for appointment and promotion is the candidate's ability and promise to advance knowledge in the field or to communicate it, as appropriate to the position. Advances may be direct or indirect, as described below; in research, education, or service; and must increase appropriately with increasing seniority of rank. Sufficient evidence of professional development and promise for further advances sets a practical minimum time between promotions. Neither the University nor Department specifies a maximum time in rank, but the Department shall monitor progress and time in rank and urge its faculty to consult with mentors and apply for promotion when sufficient progress justifies advancement.

The following evaluation criteria are abstracted from University Policy II-100(A) in effect in 2017, along with additional considerations that the Department finds important:

- A. Research** evaluation centers on the impact of the candidate's ability to advance knowledge in the field. Research contributions fall in two broad categories:
1. Independent work typical of academic basic research. Past work and plans for the future are important indicators, and may be assessed by a variety of criteria such as the quality of the individual's publications, publication journal reputation, citations to refereed publications, assessment of the impact of the individual's research by external experts in the field, receipt of invitations to present invited reviews at national and international meetings, ability to obtain external funding for the research, and research plans. University policy states that "research of a classified or proprietary nature shall not be considered in weighing an individual's case for appointment or promotion."
 2. Directed activities emphasizing research support that advances the field. This work is generally supervised by a group or activity leader, with well-defined expectations for duties. Evaluation of directed activities is based strongly on how successfully the individual's work conforms to the specific requirements of the grant or program that has provided funding for the work. Directed activities involve specific elements of skilled work required by a grant or program. These often support research activities but do not directly involve academic research. Examples are data base creation and maintenance, computer programming or hardware maintenance tasks, data analysis or archiving, instrument calibration, and so on.
- B. Education** includes teaching and academic mentoring activities. Educational activities may include but are not limited to: directing undergraduate research, directing graduate student 2nd year projects, teaching University courses, curriculum development, advising graduate student Ph.D. dissertations, serving on dissertation committees, education research, mentoring junior faculty.

Research mentoring of students and postdocs is assessed by a description of the mentoring and corresponding mentee activities. Educational activities primarily for the benefit of students in University of Maryland College Park programs will be weighted more heavily than other activities. Educational public outreach will be considered a service contribution. Teaching is assessed by means of a teaching portfolio:

For Lecturers or Research Professors citing classroom teaching experience, the teaching portfolio contents must comply with College and University requirements, and may include references to other materials submitted in conjunction with the assessment (e.g. AEP dossier sections) to reduce redundancy. Documentation in the Teaching Portfolio should parallel the TTK dossier elements, including teaching/mentoring, course syllabi, University student evaluations, peer evaluations of teaching, and a section on student advising as applicable. The emphasis should be on mentoring and courses taught since the previous evaluation.

For the Research Professor cases that do not cite classroom teaching, an education portfolio should include a 1-2 page educational narrative presenting a demonstrated history of contribution and plan for future contribution to the educational mission of the University. This should include a statement of teaching/mentoring philosophy and a description of any student research engagement. It may also summarize any professional development undertaken related to education. The narrative should identify the candidate's objectives as an educator and provide evidence how those objectives were achieved. If the candidate has involved students in research, co-advised students, or mentored students, there should be a listing of the students, dates, type of involvement and brief description of project or extent of mentoring. In cases where the candidate has co-advised Ph.D. thesis research, a 1-2 paragraph statement from a TTK co-advisor evaluating the candidate's advising ability should be included.

In all cases, portfolios may include additional information that the candidate or Department feels would be helpful in evaluating educational activities, including input from graduate students, particularly including students advised by the individual; information on the quantity and quality of graduate students who have completed theses under the direction of the individual; and evaluation of innovations introduced into the teaching program of the Department.

- C. **Service** is evaluated by contributions to the University and the profession by activities within the University, to its community (the state and citizens of Maryland), and to the professional community both nationally and internationally. Peer mentoring activities within the Department carry considerable weight in evaluating service. The university requires that "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."

V. Ranks, titles, and expectations for Professional Track Faculty

The specific faculty title shall correspond to the majority of the appointee's effort, as indicated in these assignments and expectations.

A. Research Scientists, Engineers, and Professors:

Appointment at or promotion to these ranks requires evidence of independent scholarly activity, which may include original research or substantial contributions to enabling research in the field. Service to the University is normally less than for the corresponding professorial ranks. Research Scientists, Engineers, and Professors at all ranks are expected to engage consistently in the broader academic life of the Department as appropriate, e.g., attending colloquia and seminars, participating in faculty meetings, and serving on relevant committees.

At all ranks, the Research Engineer track parallels the Research Scientist track, with the difference in designation indicating research emphasis alone.

The Department of Astronomy adopts functional designations of Assistant, Associate, and Principal for the first, second and third ranks.

At all ranks, the Research Professor track parallels the Research Scientist track, with the difference in designation indicating sustained commitment to the University's educational mission and engagement in activities that demonstrate this. The expectation for involvement in the educational mission is permanent with the title and becomes a component of the duties and responsibilities as evaluated in promotion and merit reviews.

Research Scientist, Engineer, and Professor titles have no specific classroom teaching requirements. For positions that do not include classroom teaching activities, the volume of research or programmatic support is expected to be larger than that for the corresponding tenured/tenure track ranks. A Research Professor may apply to change to the same rank Research Scientist or Engineer by request to the Department Chair without dossier or review. A table in the Research Scientist/Engineer/Professor dossier in Appendix 1 contains a summary of requirements for dossier elements required in transitions between title series.

Criteria for appointment and promotion beyond the general guidelines for research, education, and Service in Secs. IV-A, IV-B, and IV-C are:

1. Assistant Research Scientist, Engineer, or Professor (First rank): Demonstrated independence, creativity, and impact to the field. Candidates for this position generally have a Ph.D. or equivalent. Ability to direct the work of others such as technicians, students, or other research personnel. Anticipated contributions consistent with growth toward the Associate level shall be considered. Appointments to this rank are typically one to three years and are renewable.
2. Associate Research Scientist, Engineer, or Professor (Second rank): Research accomplishments whose originality, depth and impact establish the candidate as an important contributor to knowledge in their field. Promotion to this rank shall typically first be considered 5 years after promotion to the Assistant level or equivalent. Anticipated contributions consistent with growth toward the Third rank shall be considered. Appointments to this rank are typically one to five years and are renewable.
3. Research Scientist, Engineer, or Professor (Third rank): Record of research accomplishments that establish the candidate as an outstanding contributor to knowledge in their field. Promotion to this rank shall typically first be considered 5 years after promotion to the Associate level or 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.

B. Faculty Specialists

Faculty Specialist titles are typically appropriate for persons who are typically engaged in program work.

Criteria for appointment and promotion beyond the general guidelines for research, education, and Service in Secs. IV-A, IV-B, and IV-C are:

1. Faculty Specialist (First rank): At minimum, the appointee shall hold a Bachelor's degree in a relevant area, or have the equivalent experience in their specialty, as necessary to provide essential support for research, education, and/or the administration of programs in Astronomy. Faculty Specialists are expected to possess the skills necessary to make independent and meaningful contributions to the success of the programs they support. Appointments to this rank will typically be one to three years and will be renewable.
2. Senior Faculty Specialist (Second rank): The appointee shall show superior ability to support research, education, and/or the administration of programs in Astronomy, as evidenced by successfully discharging responsibilities such as those of the Faculty Specialist for at least three years or having the equivalent experience in an area relevant to their specialty. In addition, the appointee will have demonstrated increased independence, responsibilities, expertise, and/or innovation in their specialty (*e.g.*, through additional education, certifications, supervision, presentations, report generation, software development, and/or publications). Appointments to this rank will typically be one to five years and will be renewable.
3. Principal Faculty Specialist (Third rank): The appointee shall have a proven record of excellence in supporting research, education, and/or the administration of programs in Astronomy, as evidenced by successfully discharging responsibilities such as those of a Senior Faculty Specialist for at least five years or having equivalent experience in an area relevant to their specialty. In addition, the appointee will have demonstrated independence, responsibilities, expertise, and/or innovation in their specialty (*e.g.*, through additional education, certifications, supervision and mentoring, presentations, report generation, proposal efforts, visibility outside the group and/or publications). Appointments will typically be made as five-year contracts. Appointment for additional five-year terms may be renewed as early as the third year of any given five-year contract.

C. Lecturers

The Lecturer title is appropriate for persons primarily engaged in classroom teaching. Criteria for appointment and promotion beyond the general guidelines for research, education, and Service in Secs. IV-A, IV-B, and IV-C are:

1. Junior Lecturer: The title Junior Lecturer will be used to designate appointments of graduate students who are given a faculty appointment to teach. For administrative purpose this title is considered to be at the first rank. Appointments to this rank are typically for terms of up to one year and are renewable for up to six years.
2. Lecturer (First rank): The title Lecturer will be used to designate appointments of persons who are serving in a teaching capacity for a limited time or part-time, or who are full-time and at the entry-level of instruction in the field. The normal requirement is a Master's degree in astronomy or a related field, or equivalent professional experience such as extensive teaching or public outreach in a relevant discipline. The appointee will exhibit promise in the field of teaching, show evidence of a pedagogical, research, or creative agenda (which may include experience as a teaching or research assistant), and

have a record of scholarly achievement appropriate to the field. Reappointment at this rank requires demonstrated excellence in teaching (typically evaluated using course evaluations by students, evaluation of lectures by faculty, and innovations in the teaching program). Appointments to this rank are typically one to three years and are renewable.

3. Senior Lecturer (Second rank): In addition to having the qualifications of a Lecturer, the appointee shall have an exemplary teaching record over the course of at least five years of full-time instruction or its equivalent as a Lecturer (or similar appointment at another institution). This record may be demonstrated through some combination of classroom teaching (typically evaluated using course evaluations by students and evaluation of lectures by faculty), student advising, pedagogically related advising, curriculum development, or innovative pedagogical practices. The appointee shall also demonstrate a record of service and/or mentoring within the Department, the University, and/or the wider community. Appointments to this rank are typically one to five years and are renewable.
4. Principal Lecturer (Third rank): In addition to the qualifications required of the Senior Lecturer, appointees to this rank shall have an exemplary teaching record over the course of at least 5 years of full-time service or its equivalent as a Senior Lecturer (or similar appointment at another institution). The appointee shall also demonstrate a record of excellent service/mentoring within the Department, the University, and/or the wider community. The appointee shall have excellent pedagogical standing in the field, which may be demonstrated in many ways. These may include but are not limited to the following: making significant presentations at national conferences and conventions; placing articles in disciplinary or pedagogical journals; contributing to the production of textbooks or other innovative instructional materials; receiving invitations to serve as an expert in one's field or to make presentations at pedagogical workshops; or making significant, innovative contributions to the curriculum. Appointments to this rank 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.

D. Other titles

1. Faculty Assistant: The appointee shall be capable of assisting faculty in a relevant dimension of academic activity. At minimum, the appointee shall hold a Bachelor's degree in a relevant area, or have the equivalent experience necessary to carry out the duties. Appointments to this rank are typically for terms of one to three years. Appointments are renewable up to a total time in rank of three years. With concurrence of sponsoring faculty, Faculty Assistants are eligible for appointment to a ranked faculty position, such as Faculty Specialist, or appropriate staff position.
2. Post-Doctoral Associate: The appointee generally shall hold a doctorate in a field of specialization earned within five (5) years of initial appointment. An exception to the time from degree requirement must be approved by the Office of the Provost. The

appointee shall have training in research procedures, be capable of carrying out individual research or collaborating in group research at the advanced level, and have the experience and specialized training necessary for success in such research projects as may be undertaken. Appointments are typically for one to three years and are renewable, provided the maximum consecutive length of service in post-doctoral ranks at UMD shall not exceed six years. Exceptions may be approved by the Office of the Provost. This appointment cannot be held by any individual more than nine years post-Ph.D.

3. Use of other University titles is possible, after consultation with the department Chair, but is discouraged except in exceptional circumstances.

VI. Review and modification of departmental AEP Guidelines and Procedures

According to University policy, the criteria described in this document shall be reviewed periodically by the Department as deemed necessary, but no less frequently than once every five years. This review should include consideration of the unit's progress toward increasing the diversity of its faculty. This document must be updated as necessary to comply with changes in University and College policies. These guidelines and procedures may be modified or amended as described in the Plan of Organization for the Department of Astronomy, and shall include voting participation by members of the Professional Track Faculty. Discussion around the review, or at interim times as appropriate, shall include exchanges between department members on the First Level Review Committees and the Department Chair to ensure a common understanding of evaluation and promotion criteria.

Appendix 1: Timelines and elements for dossier submission

Submission deadlines of completed dossier elements listed below to the Department office are on the following dates by 5:00 PM:

- Promotions to third rank
 - November 1
- Promotions to second rank
 - October 1
 - April 10
- Promotion to first rank, other than Faculty Specialists
 - October 1
 - February 10, April 10

When a deadline falls on a date on which the University is closed, then the deadline shifts to the next day it is open. Submissions that are incomplete by the deadline shall be rescheduled for the deadline after their completion; any exceptions (e.g., missing letters, small delays in preparation of a dossier element) must be approved by the Department Chair.

These deadlines, along with the lead times specified below, will allow dossier preparation and circulation to the First Level Review committees in accordance with the Department’s Plan of Organization.

IMPORTANT:

The Chair of the ad hoc AEP Committee shall review a current Transmittal Form (dossier cover page) from the Faculty Affairs website to ensure that necessary dossier elements are provided with appropriate section numbers, signatures, and signature dates. Guidance for contents is on the following pages.

Required materials for each title are (items with an *asterisk* must be signed and dated by candidate to verify the candidate’s review) are on the following pages. The Department office will add the transmittal form, Chair’s evaluation, and other items as needed, and will forward the completed package to the College.

Summary table of documentation elements for transitions among PTK titles			
Current\Requested title	Lecturer	Research Scientist or Engineer	Research Professor
Lecturer		Research Portfolio	Research Portfolio
Research Scientist or Engineer	Educational Portfolio		Educational Portfolio
Research Professor	Educational Portfolio	Consult with Department Chair	

Research Scientist, Engineer, or Professor

- CV or resume*
 - Provided by the candidate to the review committee Chair two months before the Departmental dossier submission deadline and shall be sent to the evaluators. An addendum may be provided as an update to the review committee Chair one week before the Departmental dossier submission deadline.
- Personal statement*
 - Provided by the candidate: 2-3 pages for appointment or promotion to first or second rank, 3-5 pages for appointment or promotion to third rank. The evaluation is based on all aspects of the candidate's professional work, weighted by the division of responsibilities. The personal statement should describe activities and results in approximately the same balance as the work assigned. This statement shall be communicated to the review committee Chair two months before the Departmental dossier submission deadline and shall be sent to the evaluators.
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- Unit promotion criteria*
 - From this document, by the review committee Chair by the Departmental dossier submission deadline. This document shall be included in material sent to the evaluators.
- Documentation of duties and responsibilities*
 - Provided by the candidate's supervisor in consultation with the review Chair, at least two weeks before the Departmental dossier submission deadline.
- Letter from the unit head assessing the research of the candidate
 - Provided by the Department Chair before the College submission deadline.
- Brief summary of the candidate's qualifications*
 - This shall be a dispassionate descriptive. It may refer to suitable material in other package sections provided by the candidate.
 - It should include metrics relevant to appointment or promotion: e.g. publications, grants, project leadership, programmatic duties, software or hardware produced, etc. The metrics shall be matched to the specific responsibilities of the position and to the appointment or promotion level.
 - This subsection should typically be one page for first and second ranks, and one to two pages for third rank.
- Report by the AEP Committee summarizing the candidate's credentials and providing rationale for the appointment.
 - Provided by the review Chair: in draft form at the Departmental dossier submission deadline, in final form by the College submission deadline. The candidate shall not see this material. See Appendix 3 for its structure.
- Letters assessing the research of the candidate, to be included in the Departmental dossier submission. Evaluators shall have professional standing at or above the promotion level. The Department Chair's office must approve the evaluator choice for candidates at the second and third ranks; for candidates at the third rank, the Department shall consult with the Dean's office. All potential conflicts of interest shall

be disclosed to the Chair at that time. Letters from collaborators are usual at the First rank. At the Second and Third ranks, some evaluation by collaborators that detail the individual's contributions to collaborative or programmatic efforts is encouraged after consultation with the Chair's office. Conflicts should be described in the qualifications of evaluators.

- Three letters, with writers chosen by the candidate, with at least one external to campus and to the candidate's local workgroup, for first-rank candidates.
- At least four letters, with at least one external to campus and to the candidate's local workgroup for second-rank candidates.
- Six to eight letters, with at least three external to campus and to the candidate's local workgroup, for third ranks. The candidate should suggest at least three evaluators, of which the review committee chair chooses three. The review committee chair selects the other evaluators. The evaluators names are not disclosed to the candidate.
- For the Research Professor, letters should assess both the research and educational contribution of the candidate where possible.
- Letter log, qualifications of evaluators, sample request letter, reputations of publication outlets, and other supporting material specified in Faculty Affairs' Transmittal Form. Provided by the review Chair by the Departmental dossier submission deadline.
- Educational or teaching portfolio, as applicable, provided by the candidate as a separate document; see Sec. IV.B.* In Research Professor cases the Educational portfolio shall be sent to external evaluators for comment. A separate TTK assessment of the candidate's academic advising ability is required when appropriate.

Additional considerations for Research Professor titles:

There are three transition cases to consider for this title series:

1. For appointment with title change at the same rank of Research Scientist or Engineer title, the dossier is simplified to solely those components needed to evaluate the educational contribution. The dossier shall include the CV or resume, Unit promotion criteria, Documentation of Duties and Responsibilities, letter from unit head, and Educational Portfolio (described in Section IV). The research statement and assessment letters are not required and the letter from the unit head shall address the educational contribution. If the candidate's duties include educational components (e.g., teaching a class), they must be described in the Documentation of Duties and Responsibilities.
2. For appointment within rank from a teaching title, the educational contribution is assumed to have been met, and the dossier shall include all the elements for Research Scientist/Engineer (see above).
3. For new appointment or promotion to the title, the dossier shall include all the elements for Research Scientist/Engineer (see above) plus the Educational Portfolio.

Faculty Specialists (First rank):

- Supporting letter from the unit head providing rationale for appointment to this rank

- Provided by Department Chair before submission to the College
- CV or resume (need not be in UMD format)*
 - Provided by candidate before consideration by Department Chair
- Brief description of duties and responsibilities*
 - Provided by supervisor before consideration by Department Chair
- Unit promotion criteria or link to information on the web*
 - From this document, provided by requestor before consideration by Department Chair

Senior Faculty Specialists, Principal Faculty Specialists (Second and Third ranks):

- CV or resume (need not be in UMD format)*
 - Provided by the candidate to the review committee Chair two months before the Departmental dossier submission deadline, and shall be sent to the evaluators. An addendum may be provided as an update to the review committee Chair one week before the Departmental dossier submission deadline.
- Personal statement*
 - Provided by candidate: 1-2 pages. The personal statement should describe activities and results in approximately the same balance as the work assigned. This statement shall be communicated to the review committee Chair two months before the Departmental dossier submission deadline and shall be sent to the evaluators.
- Unit promotion criteria*
 - From this document, provided by the review committee Chair by the Departmental dossier submission deadline.
- Brief description of duties and responsibilities*
 - Provided by supervisor in consultation with review Chair, at least two weeks before the Departmental dossier submission deadline.
- Supporting letter from the unit head
 - Provided by the Department Chair before the College submission deadline.
- Brief summary of the candidate's qualifications*
 - This shall be a dispassionate descriptive. It may refer to suitable material in other package sections provided by the candidate.
 - It should include metrics relevant to appointment or promotion: e.g. publications, grants, project leadership, programmatic duties, software or hardware produced, etc. The metrics shall be matched to the specific responsibilities of the position and to the appointment or promotion level.
 - This subsection should typically be one page for first and second ranks, and one to two pages for third rank.
- Report by the AEP Committee summarizing the candidate's credentials and providing rationale for the appointment.
 - Provided by the review committee Chair: in draft form at the Departmental dossier submission deadline, in final form by the College submission deadline. The candidate shall not see this material. See Appendix 3 for its structure.
- Evaluator letters, to be included in the Departmental dossier submission:

- Two letters assessing the qualifications of the candidate, preferably at least one from an external evaluator. Candidates should propose evaluators, but the final choice is made by the review committee Chair and will be confidential. Evaluators shall have professional standing at or above the promotion level.
- Letter log, qualifications of evaluators, sample request letter, reputations of publication outlets, and other supporting material specified in the routing form
 - Provided by the review Chair by the Departmental dossier submission deadline.

Senior Lecturers, Principal Lecturers:

- CV*
 - Provided by the candidate to the review committee Chair two months before the Departmental dossier submission deadline, and shall be sent to the evaluators. An addendum may be provided as an update to the review committee Chair one week before the Departmental dossier submission.
- Personal statement*
 - Provided by candidate: 1-2 pages. This statement shall be communicated to the review committee Chair two months before the Departmental dossier submission deadline and shall be sent to the evaluators.
- Unit promotion criteria*
 - From this document, by the review committee Chair by the Departmental dossier submission deadline.
- Description of duties and responsibilities*
 - Provided by Department or review Chair, at least two weeks before the Departmental dossier submission deadline.
- Letter from the unit head
 - Provided by the Department Chair before the College submission deadline.
- Brief summary of the candidate's qualifications*
 - This shall be a dispassionate descriptive. It may refer to suitable material in other package sections provided by the candidate.
 - It should include metrics relevant to appointment or promotion: e.g. publications, grants, project leadership, programmatic duties, software or hardware produced, etc. The metrics shall be matched to the specific responsibilities of the position and to the appointment or promotion level.
 - This subsection should typically be one page for first and second ranks, and one to two pages for third rank.
- Report by an AEP Committee summarizing the candidate's credentials and providing rationale for the appointment.
 - Provided by the review Chair: in draft form at the Departmental dossier submission deadline, in final form by the College submission deadline. The candidate shall not see this material. See Appendix 3 for its structure.
- Evaluation
 - At least two letters from teaching faculty at or above the level of promotion assessing the instructional abilities of the candidate. Evaluators shall have professional standing at or above the promotion level; at least one letter must

be from TTK in the Department. The review committee Chair solicits letters from the teaching faculty evaluators.

- Summary of student teaching evaluations*
 - Provided by Department and review Chair, to be included in the Departmental dossier submission.
- Peer teaching evaluations*
 - Provided by Department and review Chair, to be included in the Departmental dossier submission.
- Teaching portfolio, which is uploaded as a separate PDF document
 - Provided by candidate, at least two weeks before Departmental dossier submission
- Letter log, qualifications of evaluators, sample request letter, reputations of publication outlets, and other supporting material specified in the routing form
 - Provided by the review Chair by the Departmental dossier submission deadline.

Appendix 3: Preparation guidelines for dossier Section 13 (Department Committee Report)

Purpose of Section 13: To provide a summary of the departmental AEP committee's findings that motivate the committee's recommendation for or against appointment or promotion. Especially at the first and second ranks, this is not an exercise in producing bulk; the focus should be on an economical description of why the appointment or promotion is warranted. References to material elsewhere in the package are encouraged, but repeating material elsewhere in the package should be avoided.

Structure of Section 13:

Preamble: Summary paragraph including:

- Names of the ad hoc committee members who prepared the section.
- Date of meeting.
- Committee vote (yes, no, abstain) and quorum requirement.
- Whether the vote is positive or negative in favor of the appointment.

Sec 13a: The ad hoc subcommittee's evaluation of the candidate's case. This includes:

- Motivation for the appointment or promotion.
- Reference to departmental AEP requirements for appointment or promotion to that level, as it matches the candidate's activities.
- Assessment of candidate's progress against departmental requirements and suitable metrics for the position.
- Synthesis of top-level conclusions – but not quotes – from the evaluation letters. Evaluations of evaluator context, letters, letter writers.
- This subsection should typically be one to two pages, emphasizing information for non-specialists, for first and second ranks, and two to three pages for third rank.

Sec. 13b: Brief summaries of important discussion points from the AEP committee discussion, including:

- Relevant additional information from the Committee, including the sense of affirmations or objections from committee members.
- Resolution of any debates over progress assessment.
- Other information that will help higher-level reviews accurately assess the case.