UMIACS Policy on Professional-Track Faculty

I.   **Scope, Purpose, and Implementation of this Policy**

1. The purpose of this document is to establish unit-level policies compliant with college- and university-level policy and guidelines for appointment, evaluation, and promotion of professional track faculty within the University of Maryland Institute for Advanced Computer Studies (UMIACS).
2. This policy only describes the criteria and procedures for the following professional-track (PTK) ranks that are presently in use or may be used within UMIACS: Assistant Research Professor, Assistant Research Scientist, Assistant Research Scholar, Assistant Research Engineer, Associate Research Professor, Associate Research Scientist, Associate Research Scholar, Associate Research Engineer, Research Professor, Research Scientist, Research Scholar, Research Engineer, Faculty Specialist, Senior Faculty Specialist, Principal Faculty Specialist, Post-Doctoral Associate, and Faculty Assistant.
3. UMIACS shall review its written Criteria for Evaluation and/or Promotion for Professional Track Faculty periodically, as deemed necessary, but no less frequently than once every five years.

II.   **Professional Track (PTK) Appointment, Evaluation, and Promotion – General Policies**

1. UMIACS may choose to set expectations related to appropriate time in rank between evaluations for promotion, but such expectations shall not preclude a faculty member from seeking to be reviewed early or from opting not to be reviewed for promotion.
2. PTK faculty cannot be prohibited from applying for promotion because of budget considerations.
3. Evaluations of individual PTK appointment/promotion candidates shall be based on the duties and expectations associated with the specific faculty rank and as described in the offer letter or appointment contract. A decision regarding the promotion of PTK faculty shall be based on the performance of the individual faculty member, and shall not be determined in relation to a unit-wide quota.
4. UMIACS recommendations for appointments and promotion for all PTK faculty at or above the Associate or Senior level will be reviewed by the CMNS Associate Dean for Faculty Affairs and the CMNS Dean.[1] The Dean will make a decision and notify UMIACS, which will notify the candidate in writing. Appointments above the Associate or Senior level are also reviewed and approved by the Provost, and the Provost may choose to institute additional university-level review for PTK faculty promotions as deemed necessary to ensure that fair and equitable processes and procedures are being successfully implemented.
5. In the event of a negative decision, the faculty member shall be notified in writing by the UMIACS Director. The faculty member can appeal a negative decision based on procedural grounds, i.e., if aspects of the review appeared to violate the UMIACS published processes. All appeals shall be handled by the Office of Faculty Affairs.
6. In cases of positive decisions regarding applications for promotion, the promotion shall usually be accompanied by an increase in compensation, subject to budget constraints and directives from USM. Minimum salary increases due to promotion are subject to and

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[1] https://cmns.umd.edu/faculty-staff/chairs-handbook/cmns-protocols-faculty-searches-appointments-promotions-and-reviews

defined by current pay policies and salary guidelines, as distributed to units by the Provost/USM through the annual budget process. Every effort shall be made to make salaries professionally appropriate and competitive to the extent allowed by available fiscal resources.

7. Promotions may not be rescinded, and future appointments shall be to the faculty rank granted through the promotion process.

8. Current PTK faculty members may request an appointment or promotion to a title from a different PTK title series. Such requests will be evaluated according to the policies for initial appointment or promotion to the requested title, as appropriate.

9. In the event a faculty member holds multiple appointments in different units or departments in the same PTK title series, generally, the PTK faculty member should apply for promotion in UMIACS only if UMIACS is designated as the primary unit for the appointment. The primary unit is usually determined by the percentage FTE for the appointment (the unit contributing the highest FTE percentage is the primary unit), however this designation may also be specified in an MOU between the units contributing to the appointment. Any decision to grant promotion by UMIACS as the primary unit must consider evaluative input from the other units in which the faculty member holds an appointment, however, the decision to grant promotion lies with the primary unit. Once promoted, the faculty member is entitled to be compensated at the rate of the higher PTK faculty rank in all of the units or departments in which he/she holds an appointment.

10. UMIACS shall evaluate PTK faculty at least once every 3 years, or according to the terms specified in the offer letter or employment contract. The evaluation shall be conducted by the UMIACS Faculty Appointment, Promotion, and Tenure (FAPT) committee on the basis of the duties and expectations associated with the specific faculty rank and as described in the offer letter or appointment contract. The FAPT committee shall seek relevant information from the faculty member, their mentor, and their supervisor. The FAPT committee shall submit a written report to the Director, recommending, as appropriate, the promotion or nomination of the faculty member for an award, or, in case of unsatisfactory performance, recommending remedial action or termination of employment. The Director shall discuss the recommendations of the FAPT committee with the PTK faculty member.

11. UMIACS shall include PTK faculty in awards for faculty. If the requirements for existing awards inherently preclude PTK faculty from being nominated, UMIACS is encouraged to create appropriate awards for recognizing excellence among PTK faculty in the various domains of academic activity. Within the College, PTK faculty may be nominated annually for the Distinguished Research Scientist Award, the Outstanding Lecturer Award, and the Board of Visitors Creative Educator Award.

12. Offer letters and/or employment contracts for PTK faculty shall clearly indicate the name and title of the supervisor assigned to the new PTK faculty member, usually either the UMIACS Director, or the principal investigator of the award providing the funding for the position. PTK faculty must be informed in writing by the UMIACS Director of any subsequent changes in their supervisory relationship.

III.   UMIACS Professional Track Faculty Ranks (see UMD Policy[2,3])

1. The following are official titles per the University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty (II-1.00(A)). Details related to qualifications, descriptions, and terms change frequently. It is for this reason that we do not explicitly enumerate the current details in this document, but instead include them here by reference only.
2. Professional track ranks, which run parallel to tenure/tenure track faculty ranks, use the "Research Faculty Track"
   i. ***Assistant Research Faculty Ranks*** (First Rank) include: Assistant Research Professor, Assistant Research Scientist, Assistant Research Scholar, and Assistant Research Engineer.
   ii. ***Associate Research Faculty Ranks*** (Second Rank) include: Associate Research Professor, Associate Research Scientist, Associate Research Scholar, and Associate Research Engineer.
   iii. ***Research Faculty Ranks*** (Third Rank) include: Research Professor, Research Scientist, Research Scholar, and Research Engineer.
3. Professional track ranks, which denote management responsibility for academic or research programs, use the "Faculty Specialist Track"
   i. ***Faculty Specialist*** (First Rank)
   ii. ***Senior Faculty Specialist*** (Second Rank)
   iii. ***Principal Faculty Specialist*** (Third Rank)
4. Entry-level Faculty Ranks <u>with Renewal Limits</u> include:
   i. ***Faculty Assistant (may be renewed for up to 3 years)***
   ii. ***Post-Doctoral Associate (may be renewed for up to 6 years)***
5. Emerita or emeritus status at UMIACS may be conferred, following campus procedures in USM II-1.00(A), on the following third-rank PTK faculty:
   i. ***Research Professors***
   ii. ***Research Scientists***
   iii. ***Research Scholars***
   iv. ***Research Engineers***
   v. ***Principal Faculty Specialists***
6. The prefix "Visiting" before an academic title, e.g., Visiting Professor, shall be used to designate a short-term, temporary professorial appointment.
7. Definitions of Terms Related to Rank
   i. The term "Introductory Rank" in this policy denotes the following: Assistant Research Professor, Assistant Research Scientist, Assistant Research Scholar, Assistant Research Engineer, Faculty Specialist (all first-rank), as well as Post-Doctoral Associate (an entry-level rank).
   ii. The terms "Research Faculty" or "Research Tracks" in this policy denote the following: Assistant Research Scientist, Associate Research Scientist, Research Scientist, Assistant Research Scholar, Associate Research Scholar, Research Scholar, Assistant Research Engineer, Associate Research Engineer, Research Engineer,

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Assistant Research Professor, Associate Research Professor, and Research Professor.

IV. Special Provisions and Committee Representations

1. An introductory-rank PTK faculty member shall be included on any UMIACS committee responsible for the creation, adoption, and revision of unit-level policies and procedures related to appointment, evaluation, and promotion of PTK faculty.
2. PTK faculty above introductory rank shall be included on any UMIACS committee responsible for the creation, adoption, and/or revision of unit-level policies and procedures related to appointment, evaluation, and promotion of PTK faculty.
3. Emerita/Emeritus faculty may attend and comment at any appointment or promotion meeting (whether committee or full faculty meeting), but do not add to quorum and cannot vote unless they have a current appointment as research faculty.
4. Visiting faculty and part-time faculty (under 50% FTE at the University of Maryland) cannot participate in faculty meetings voting on the promotion or appointment of PTK faculty.
5. Special Provision for the Appointment/Promotion (AP) Committee.
    i. For appointments and promotions to the ranks of Associate Research Professor / Scientist / Engineer and Research Professor / Scientist / Engineer, Senior/Principal Faculty Specialist, the Director shall appoint a three-person *ad hoc* AP Committee. If the candidate is internal to UMIACS, the Director shall consult with the candidate and the candidate's mentor prior to naming their AP Committee.
    ii. Membership in an AP Committee will be open to all UMIACS faculty with a rank equal to or higher than that being considered, and must include at least one PTK faculty member.
    iii. The primary responsibility of an AP Committee is to assemble the dossier and present the candidate's case at a faculty meeting, if required (see Section IV.7). For appointment or promotion to the Research Faculty, the committee has the additional responsibility of selection of additional reviewers not on the candidate's list.
6. The AP Committee (or a departmentally appointed individual for ranks not requiring an AP Committee) is required to produce a written descriptive report to be added to the candidate's dossier, summarizing the candidate's credentials and qualifications, and the rationale for or against the appointment/promotion.
7. Special Provision for Faculty Meeting and Vote:

    According to the UMIACS Constitution, the appointment and promotion of faculty is subject to the approval of the Faculty Appointment, Promotion, and Tenure (FAPT) committee, and does not involve a vote of the Institute's assembly. In the case of appointments and promotions of PTK faculty, the membership of this committee will be augmented by the addition of a PTK faculty member of rank equal to or higher than that being considered.

Table 1: Eligibility requirements for voting on PTK Faculty appointment and promotion cases requiring a vote.

For Appointment and Promotion To …	Eligible Voting Members

Assistant Research / Scientist / Scholar / Engineer / Professor	Assistant Professor, Associate Professor, Professor, Senior / Principal Faculty Specialist, Assistant Research Scientist / Scholar / Engineer / Professor, Associate Research Scientist / Scholar / Engineer / Professor, Research Scientist / Scholar / Engineer / Professor
Associate Research Scientist / Scholar / Engineer / Professor, Senior Faculty Specialist	Associate Professor, Professor, Senior / Principal Faculty Specialist, Associate Research Scientist / Scholar / Engineer / Professor, Research Scientist / Scholar / Engineer / Professor
Research Scientist / Scholar / Engineer / Professor, Principal Faculty Specialist	Professor, Principal Faculty Specialist, Research Scientist / Scholar / Engineer / Professor
All other ranks	Appointment/Promotion Committee members only; no faculty meeting vote

V.   Application, Dossier, and Evaluation

1. The candidate and their mentor should discuss appointment or promotion with the Director and agree on a timeline for the consideration of the case. The candidate shall provide to the Director's office an application within the agreed-upon timeline.

2. In all cases, the application package shall include:
   i. Signed Curriculum Vitae
   ii. Signed and dated Professional Statement, documenting the candidate's professional activities, administrative, and/or managerial responsibilities, productivity, creativity, and professional development, and (for research faculty) the research accomplished by the candidate and directions for future research.
   iii. Nomination letter from UMIACS faculty member or mentor (For faculty Specialist Ranks only)
   iv. Names and contact information of references, suitable for the solicitation of letters of reference by the Director's office (number and requirement varies by title; see Section V.3).
   v. Any additional information the Director or committee may require.

3. For the Research Faculty tracks, after initial application, UMIACS will solicit and conduct:
   i. **Assistant Research Professor/Scientist/Scholar/Engineer:**
      a. Three letters of reference from writers chosen by the candidate, at least one external to the university.
      b. A vote of the UMIACS FAPT committee.
   ii. **Associate Research Professor/Scientist/Scholar/Engineer:**
      a. Three letters of reference from writers chosen by the candidate.
      b. Three additional letters of reference chosen by the committee. Of the six total letters, at least one must be external to the university.
      c. A vote of the UMIACS FAPT committee.
   iii. **Research Professor/Scientist/Scholar/Engineer:**
      a. Three letters of reference from writers chosen by the candidate.

       b.   Three additional letters of reference chosen by the committee. Of the six total letters, at least three must be external to the university.

       c.   A vote of the UMIACS FAPT committee.

  iv. For all the Research Faculty tracks above, evaluation will be appropriate for the job description. In addition to research duties, evaluation of a candidate for the three Research Professor ranks will have added emphasis on teaching and educational activities. Evaluation of a candidate for the three Research Engineer ranks will instead have added emphasis on original designs and/or inventions.

4. For Appointment or promotion in the Faculty Specialist track after initial application, UMIACS will solicit and conduct:

  i. **Faculty Specialist:**
      a.   Two letters of reference from writers chosen by the candidate.
      b.   An interview by the supervising faculty member, communicated to the Director. The interview will consider potential to: make significant contributions to meet or exceed research project(s) needs; work collaboratively with professional colleagues and contribute to the achievement of UMIACS's mission.

  ii. **Senior Faculty Specialist:**
      a.   Three letters of reference from writers chosen by the candidate.
      b.   An evaluation by the supervising faculty member, communicated to the Director.
      c.   A vote of the UMIACS FAPT committee.

  iii. **Principal Faculty Specialist:**
      a.   Three letters of reference from writers chosen by the candidate, with at least one external to the university.
      b.   A vote of the UMIACS FAPT committee.

5. For Appointment to entry-level faculty ranks (**Faculty Assistant**, and **Post-doctoral** Associate), the mentor or UMIACS will solicit at least one letter of reference from writer(s) chosen by the candidate.

6. Blind solicitation of letters: while the candidate or AP Committee may confirm availability and willingness of potential references prior to applying for promotion, in order to solicit unbiased and confidential assessments, each request for letters must be issued by the Director's office or the committee (not the candidate), and should describe the criteria for the promotion and appointment, and must contain, at minimum, the candidate's signed CV and signed professional statement.

7. The final dossier may not be seen by the candidate, except on appeal. It must include the minimum number of letters as well as all other required elements before a vote can be held.

VI. Timelines

1. The candidate may be eligible for promotion to a given rank following the guidance in Section III. Faculty may seek early review or opt not to be reviewed.

2. A promotion application is initiated in two ways:

  i. Upon nomination by the faculty member's mentor, supervisor, or another UMIACS colleague. The Institute Director will then ascertain the consent of the candidate.

  ii. By self-nomination from the candidate. In promotion cases, the Institute Director is required to inform the candidate's mentor and seek their advice.

3. A promotion or appointment may be initiated at any time of the year if permitted by university policy.
4. The candidate, with the mentor's advice in promotion cases, will submit the application package, including names of references as in Section V.
5. The Director shall select the members of the Appointment/Promotion Committee as in Section IV.5.
6. The membership of the Appointment/Promotion Committee shall be communicated to the candidate and, if applicable, the candidate's supervisor(s) and mentor.
7. The Appointment/Promotion Committee will assemble the final dossier, including receipt of letters of recommendation.

Items 8-12 apply only for appointments and promotions requiring a vote of the UMIACS FAPT committee (described in Section IV.7 and Table 1):

8. Upon completion of the candidate's dossier, the Institute Director, in consultation with the FAPT Committee Chair will decide on a date or dates for the FAPT Committee meeting(s) for voting on the case.
9. The candidate's full dossier must be available at least one week prior to the FAPT meeting to hold the vote.
10. The upcoming meeting will be announced at least one week prior to all eligible members (as in Section IV.7, Table 1).
11. The meeting will be held, the candidate's case presented, and a recommendation made to the Institute Director as in Section VII based on the result of the votes cast.
12. The Director will approve/reject the case based on the result, or make a recommendation to the CMNS Dean (for successful votes on Research Faculty).
13. Upon Appointment to UMIACS, a new hire will be assigned a mentor from within UMIACS as in Section IX.
14. New appointments (not promotions) are effective when shown in the contract.
15. All promotions are effective the July 1 after the promotion is approved. This extends to appointments from entry-level ranks, such as Post-Doctoral Associate.
16. The UMIACS and CMNS policies, procedures, and criteria for professional-track faculty must be made available and communicated to all professional-track faculty at the time of their hiring or appointment.

VII. Voting

1. At least one FAPT committee meeting shall be held in a timely manner in the spring of each year to review pending appointments and promotions requiring a vote.
2. For non-Research Faculty or where an FAPT committee meeting vote is not required, an Appointment/Promotion Committee may choose to meet and vote at any time after final dossier preparation.
3. Those eligible to vote in the FAPT committee, are at or above the rank being considered or its equivalent. The detailed eligibility by rank is shown in Table 1 in Section IV.
4. A quorum shall consist of two-thirds of the FAPT committee members. Telepresence shall count towards quorum. Faculty with Emeritus designations may attend the meeting and comment, but do not add to quorum and cannot vote unless they have a current appointment as research faculty.
5. Absentee voting is accepted if the eligible member is on travel or off-site, but while it counts in the vote tally, it cannot count towards the quorum.
6. Voting by proxy is not permitted.

7. Any appointment or promotion vote requires at least a two-thirds majority of those who cast votes in order to pass a positive recommendation to the Director.
8. The result of the vote (number of votes cast, quorum, number of yea/nay/abstention votes) shall be communicated by the Chair of the FAPT Committee to the Director in writing, which letter is added to the candidate's dossier.
9. In the event of an adverse decision, except for appeals and where allowed by University policy, the candidate may reapply the following academic year.

VIII.   Appointment Contracts

1. As specified by CMNS Protocols for Faculty Searches, Appointments, Promotions and Reviews:[4]
    i.   For State-funded positions and Research Faculty the CMNS dean must approve the terms of the offer and any changes.
   ii.   For all positions the CMNS Assistant Dean for Finance and Personnel must approve all offer letters and contracts in advance.
  iii.   All permissions and approvals must be in writing (normally by email).

2. Prior to the beginning of their assignment, all PTK faculty shall be provided with written appointment contracts created by UMIACS using the on-line contract management system of the Office of Faculty Affairs. An appointment contract shall stipulate the faculty rank, the term, the type of appointment, e.g., 9 month or 12 month, the annual salary rate, assignments and expectations, benefits, and terms regarding notifications for non-renewal. Information about UMIACS resources and performance/evaluation policies and procedures, including this document, may be referenced in the contract, and if so, will be made available on the UMIACS website.
3. The specific faculty rank for a given appointment shall correspond to the majority of the appointee's effort, as indicated by the assignments and expectations in the contract.
4. Given that PTK faculty might be active in only one or two of the three dimensions of academic activity, assignments and expectations shall establish explicitly the scope of the appointee's efforts in terms of the three dimensions of academic activity, i.e., Teaching, Research, and Service, thereby providing expectations for evaluating faculty performance and applications for promotion.
5. In accordance with provisions within University policy (II-1.00[A]), PTK faculty shall be given progressively longer contracts whenever possible, to provide additional stability for the faculty member as well as for UMIACS.
6. PTK faculty currently employed within UMIACS shall be provided with a copy of UMIACS's latest policies and procedures related to promotion and evaluation (including this document). New PTK faculty will typically be provided with a copy upon appointment. A copy shall be publicly available online.

IX.   Mentoring

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[4] https://cmns.umd.edu/faculty-staff/chairs-handbook/cmns-protocols-faculty-searches-appointments-promotions-and-reviews

1. The Director's office shall facilitate mentoring of PTK faculty upon or shortly after a new appointment, if needed by introducing the appointee to appropriate higher rank faculty. Assignment is contingent on agreement of both parties to the relationship.
2. The Director's office shall keep a list of all junior PTK faculty and their mentors, with the date of assignment noted.
3. Either tenured/tenure-track or PTK faculty may serve as mentors of PTK junior faculty. A supervisor or PI is typically considered first for the mentor role. It is highly encouraged that the mentor shall have the highest rank in their track (Professor, Research Professor, or equivalent).
4. Mentors should typically consult semi-annually with the mentored faculty member on professional development and promotion. Favorable feedback from mentors is advisory and no guarantee of promotion.
5. Introductory-rank faculty shall identify a mentor to the Director's office either upon or soon after appointment.
6. It is the responsibility of junior faculty to alert the Director in a timely fashion of any change in mentor or need for a new mentor. A replacement shall be facilitated by the Director as appropriate.
7. Mentoring of post-doctoral associates is appropriate if working for an UMIACS faculty member, but may be exempted at the Director's discretion, (e.g., off-site post-doctoral associates).
8. A Mentoring Guide is available online:
   https://pdc-svpaap1.umd.edu/faculty/documents/MentoringGuide.pdf

X.   Merit Pay

1. All merit pay decisions are subject to and defined by current pay policies and salary guidelines, as distributed to units through the annual budget process. Each fiscal year the merit pool availability and amount varies as determined by legislative appropriation and campus funds.
2. The Institute will annually elect a Faculty Activity subcommittee, consistent with University policy (UM Policy VII-4.00(A)), to evaluate annual scholarly and research activity of faculty and provide scoring or rating to the Director. The committee shall have a minimum of four members, and must have representation from both professional and tenure track faculty ranks.
3. The Faculty Activity subcommittee may solicit input from Principal Investigator(s) for junior faculty cases. For post-doctoral associates, mentor scoring may inform the subcommittee. All evaluations will be based on the job description and annual Faculty Activity Reports, or equivalent as available, for the preceding three years.
4. The subcommittee will report to the Director, who will allocate merit pay according to current campus distribution guidelines in consultation with the business staff. The Director will then recommend the merit pay for consideration by the Dean.

I have read and agree to the UMIACS Professional-Track Faculty Policy.

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print name

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signature   9/9