

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.

I. Rationale

In light of the important contributions made by Professional Track (PTK) Faculty at the University of Maryland, the Provost and the University Senate jointly establish the following guidelines in order to formalize and regularize the processes for recognizing excellence among the Professional Track Faculty. The guiding principles assumed in this document are the need for: transparency and accountability of rules, procedures, and processes; fair and equitable treatment of PTK faculty in appointment, evaluation and promotion; and meaningful inclusion of PTK faculty in the development and implementation of unit, College, or School policies and procedures. By adopting these guidelines for appointing, evaluating, and promoting PTK faculty, units will define how excellence in the PTK faculty ranks will be recognized and rewarded, thereby better serving the needs of both PTK faculty and the institution.

II. Implementation

- A. The expectations outlined below are intended to guide units in creating policies and procedures without restricting them from implementing particular practices appropriate for the discipline or unit. The following guidelines set minimum requirements.
- B. Policies and procedures related to appointment, evaluation, and promotion of PTK faculty may be created as individual policies or may be incorporated into Plans of Organization of departments and Colleges or Schools, depending on the preferences of the unit. Given that amending Plans of Organization can be a lengthy process, if a unit chooses to incorporate policies into its Plan, new policies and procedures shall be developed as soon as possible and implemented prior to formal incorporation into the Plan of Organization.
- C. PTK faculty currently employed within the unit shall be provided with a copy of the unit's policies and procedures related to promotion and evaluation once such documents have been approved. PTK faculty hired by the unit after the development of these procedures shall be provided with copies prior to appointment. All unit policies and procedures shall be publicly available online.
- D. Each unit will be responsible for determining a transition plan which addresses promotion and related concerns for current PTK faculty within the unit. Plans shall be created by a committee which must include voting representation from current PTK faculty, T/TT faculty, and unit administrators.
- E. After they are developed, new unit-level policies and procedures shall be reviewed by the College and the Office of Faculty Affairs for compliance with University policy and with these guidelines. Likewise, new College-level policies and procedures shall be reviewed by the Senate Faculty Affairs Committee. Existing policies are subject to the same review protocols. New policies and procedures will go into effect upon approval at the higher level, and the PTK faculty within the unit shall be informed of the new policies and procedures immediately following approval. The Office of the Provost shall constitute a standing review committee to perform the review function described above .

### III. Expectations for Units

- A. Unit Plans of Organization shall specifically define faculty to include PTK faculty ranks as defined in the University of Maryland Policy on Professional Track Faculty (II-1.00[G]). Unit Plans of Organization shall address the role PTK faculty serve within the unit as members of the unit faculty.
- B. PTK faculty shall be given representation on committees responsible for the creation, adoption, and revision of unit-level policies and procedures related to appointment, evaluation, and promotion of PTK faculty.
- C. Policies and procedures addressing the appointment and promotion of PTK faculty shall include PTK faculty in such processes and specify that faculty eligible to vote on appointment and promotion of PTK faculty shall be at the same or higher rank than the rank to which the candidate seeks promotion. Policies and procedures shall explicitly address mentoring of junior PTK faculty by senior PTK faculty, and, where appropriate, mentoring of graduate students by PTK faculty. Policies and procedures should address how PTK faculty who are active in only one or two dimensions of the three dimensions evaluated for promotion, e.g., teaching, research and service, will be evaluated upon application for promotion.
- D. Policies on merit pay for PTK faculty shall be incorporated either into the unit's existing merit pay policy, or into the policies and procedures for appointment, promotion, and evaluation of PTK faculty.
- E. Qualifications required for appointment and promotion shall be explicitly stated. Alternatively, unit policies and procedures may state that the broad qualification requirements as defined in the University's APT policy (II-1.00[A]) apply and state exceptions to those requirements.
- F. For title series in which professional experience can substitute for a degree requirement, unit policies and procedures shall provide discipline-specific baseline standards for the types and levels of professional activities that will constitute equivalencies for degree requirements.

### IV. Appointment Contracts

- A. Prior to the beginning of their assignment, all PTK faculty shall be provided with written appointment contracts created by the unit 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 unit-level resources and unit-level performance/evaluation policies and procedures may be referenced in the contract, and should be made available via a publically available web site maintained by the appointing unit.
- B. 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.

- C. 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. The rank shall be appropriate given the unit's criteria for appointments to such rank.
- D. 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 the unit.
- E. In addition to the provisions above, contracts for Instructional Faculty shall include the provisions stipulated in USM and UM Policies II-1.00(F), II-1.05, II-1.06, and II-1.07(A).

V. Evaluation, Promotion, and Recognition

- A. Except as specified below, details of the evaluation criteria and procedures for promotion are the responsibility of the unit. The application and review process, including the materials to be submitted by the faculty member, shall be specified in the unit's evaluation and promotion guidelines. The expectation is that units shall craft guidelines which are appropriate to the specific duties PTK faculty perform, which may be different for those in research, instructional, and clinical ranks.
- B. Units shall provide for the mentoring of PTK faculty by appropriate senior faculty, either tenured/tenure-track or PTK faculty. Mentors shall encourage, support, and assist these faculty members and be available for consultation on matters of professional development. Mentors also need to be frank and honest about the progress toward fulfilling the unit's criteria for promotion. Favorable informal assessments and positive comments by mentors are purely advisory to the faculty member and do not guarantee a favorable promotion decision.
- C. PTK faculty cannot be prohibited from applying for promotion because of budget considerations. Units 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.
- D. Evaluations of individual PTK faculty shall be based on the duties and expectations associated with the specific faculty rank and as described in the appointment contract.
- E. Membership of committees which review PTK faculty shall include PTK faculty.
- F. Appointments and promotions to ranks at or above the Associate level or the Senior level will be reviewed and approved by the College. Appointments above the Associate or Senior level will also be 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.

- G. Units shall set deadlines during the academic year to submit applications for promotion. The expectation shall be that the review process shall be completed within an academic year and in time to permit any expected salary increase to take effect in the following academic year.
- H. In the event of a negative decision, the faculty member shall be notified in writing by the unit head. The faculty member can appeal a negative decision based on procedural grounds, i.e., aspects of the review appeared to violate the unit's published processes. All appeals shall be handled by the Office of Faculty Affairs.
- I. For PTK faculty appointments that do not have maximum terms, as established in Policy II-1.00(A), a negative decision regarding an application for promotion does not automatically preclude renewal of the existing PTK appointment.
- J. In cases of positive decisions regarding applications for promotion, the promotion shall be accompanied by an increase in compensation, subject to State budget constraints and directives from USM. Minimum increases in compensation shall be set annually by each College or School, as is done for tenured and tenure track promotions. Every effort shall be made to make salaries professionally appropriate and competitive to the extent allowed by available fiscal resources.
- K. Promotions may not be rescinded, and future appointments shall be to the faculty rank granted through the promotion process.
- L. A decision regarding the promotion of PTK faculty shall be based on the individual faculty member's performance, evaluated according to the promotion criteria set forth in the unit's published policies and procedures. Promotion decisions shall not be determined in relation to a unit-wide quota.
- M. 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 the unit in which he or she has the greatest % FTE appointment, e.g., the primary unit. Any decision to grant promotion by 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.
- N. Departments shall include PTK faculty in awards for faculty. If the requirements for existing awards inherently preclude PTK faculty from being nominated, departments, colleges, and the institution should be encouraged to create appropriate awards for recognizing excellence among PTK faculty in the various domains of academic activity.