

## POLICY ON APPOINTMENT AND PROMOTION OF PROFESSIONAL TRACK FACULTY

### A. James Clark School of Engineering

#### I. Scope, Purpose, and Implementation of College Policy

In 2015, the University of Maryland adopted new titles and ranks for professional track faculty, and enacted new policies for the appointment and promotion of professional track faculty, as described in II-1.00(A). The schools and colleges are required to amend existing policies, or create new policies for the appointment and promotion of professional track faculty that comply with these University policies.

The purpose of this document is to establish policies for appointment, promotion, and review of professional track faculty within the Clark School of Engineering, and to set clear expectations and common standards for what should be included in unit-level policies for the units that comprise the College.

This policy only describes the criteria and procedures for the following professional-track ranks that are presently in use within the A. James Clark School of Engineering: Lecturer, Senior Lecturer, Principal Lecturer, Post-Doctoral Associate, Assistant Research Professor, Assistant Research Scientist, Assistant Research Engineer, Associate Research Professor, Associate Research Scientist, Associate Research Engineer, Research Professor, Research Scientist, and Research Engineer, Faculty Specialist, Senior Faculty Specialist, and Principal Faculty Specialist.

Each department/unit within the A. James Clark School of Engineering is responsible for creating policies and procedures related to the appointment, promotion and annual evaluation of Professional Track (PTK) faculty. (Unit) plans “shall be created by a committee which must include voting representation from current PTK faculty, tenured/tenure-track faculty, and unit administrators.” It is highly recommended that these be stand-alone individual policies rather than incorporated into the unit’s Plans of Organization, as amending the Plans of Organizations are often lengthy processes. All changes and amendments to unit-level policies on the appointment, promotion and evaluation of professional-track faculty must not only be composed and reviewed by a representative constituency, as described above, but must subsequently be submitted the dean’s office where it will be reviewed prior to adoption to ensure compliance with campus-level guidelines.

Annual merit evaluation of PTK faculty is not addressed in this policy, because such decisions are to be made at the unit level. As explained in the campus policy, “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. Membership of committees which review PTK faculty shall include PTK faculty (when possible).”

Mentoring and advising of PTK faculty is likewise not addressed in this policy, because these activities are to be undertaken at the unit level. Unit-level policies are nonetheless required to include a plan explaining the mentoring of PTK faculty, and the college shall review the Unit-level mentoring plans prior to adoption to ensure compliance.

This policy on appointment and promotion of professional track faculty will be reviewed after no more than two-years of implementation to ensure it is fair and meeting the needs of the lecturers, their unit, and the A. James Clark School of Engineering.

## II. College-Level Policies that Apply to Evaluation and Promotion at All Ranks

### A. Contracts for Professional Track Faculty

When issuing contracts to professional track faculty, the College, and all Units therein, will use the online contract management system to ensure that 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.

### B. Promotion Criteria

Decisions on promotion for PTK faculty should be made based upon the reviewee's performance, according to the evaluation criteria described here and in the corresponding Unit-level policy.

### C. Voting Eligibility and Outcomes

In cases of professional track appointments and promotions that require voting, unit policies must clearly explain who is eligible to participate in the discussion and subsequent voting, and what constitutes a positive vote at each level.

### D. Appropriate Use of Titles

The College and Units therein should use faculty titles that are appropriate and correspond to the majority of the appointee's effort as explained here and in the Unit-level criteria for each rank and title. The description of the appointee's assignments and expectations that is included in the contract should be consistent with the College- and Unit-level criteria for the proposed rank.

### E. Duration of Contracts

Wherever possible, Units should strive to provide progressively longer contracts to professional-track faculty.

### F. Notification of Promotion Decisions

Professional-track faculty should be notified in writing of all promotion decisions at each level of review.

### G. Negative Promotion Decisions

Negative promotion decisions for professional-track faculty do not preclude renewal of the existing PTK appointment at the present rank, except in cases where the individual has reached or exceeded the term limit for their present rank. Promotions may not be rescinded.

### H. Appeals

The faculty member may appeal a negative decision based on alleged violations of procedural due process that would have had a material effect on the decision. 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.

I. Promotion Salary Adjustment

The College shall annually determine the minimum salary increase for promotion to the level of Associate Research Scientist/Engineer/Professor, Senior Lecturer, and Senior Faculty Specialist and higher ranks.

J. Shared appointments

When the PTK faculty member has an appointment that is shared between more than one Unit, the chairs or directors of the participating units should designate one unit to serve as the home unit for the purpose of appointment and promotion decisions. This decision should be made at the time of appointment and clearly communicated to the faculty member. In such cases, a supporting letter from the chair/director (or designee) of the secondary unit should accompany the candidates dossier.

K. Recognition and Awards

The College shall establish, organize, offer, and publicize awards to recognize the accomplishments and achievements of professional-track faculty in the College. Professional track faculty in all categories (research, service, instruction) should be eligible for consideration for awards, and the award selection committee should also include representation from professional-track faculty.

III. College APPTK Committee

Appointment or promotion to the highest rank in each professional-track category (Principal Lecturer, Research Professor, Research Scientist, Research Engineer, or Principal Faculty Specialist) will require review and vote by a college-level appointment and promotion committee for professional track faculty (the APPTK Committee). A report shall be generated that will be added to the Dossier prior to the campus level review.

A. Composition of College APPTK Committee

The College APPTK committee shall consist of the full-professor members of the standing College APT committee, along with at least two and no more than four professional-track faculty members who are at the highest professional-track rank in their respective categories. The number of required PTK faculty representatives on the committee shall be adjusted every two years as the newly adopted higher ranks become populated. The eventual goal is to achieve a steady state representation of approximately 1 PTK representative per 20 PTK faculty members in the college (excluding post-doctoral ranks), with proportionate representation from instructional, research, and specialist tracks.

B. Selection of APPTK committee members

A college-wide nomination and election shall be held to replace the PTK members serving on the committee. This election shall follow the same schedule used for the tenured faculty members serving on the College APT committee. PTK member shall serve a term of 2 years, with approximately half of the committee members replaced each year.

### C. Responsibilities and Activities of College APPTK Committee

1. Appointment and Promotion: The College APPTK committee is responsible for reviewing and voting on all new appointments and promotions to the ranks of Principal Lecturer, Research Professor, Research Scientist, Research Engineer, and Principal Faculty Specialist. A simple majority of voting members of the committee shall constitute a positive vote outcome. The committee must also prepare a concise summary of the discussion and vote tally for each case that becomes part of the dossier that is sent to the Provost.
2. Appeals: Any appeals of negative promotion decisions for professional-track faculty to the level of Associate Research Scientist/Engineer/Professor, Senior Lecturer, and Senior Faculty Specialist and higher, are to be considered by the College APPTK committee, which will consider and vote on the appeal and provide a recommendation to the Dean (or designee) for final decision.

### D. Timeline for College-level Review of Professional Track Faculty

The College APPTK committee will meet annually in the Spring semester to consider all promotions to the ranks of Principal Lecturer, Research Professor, Research Scientist, Research Engineer, and Principal Faculty Specialist. The date for this meeting should be announced to all units at the start of the Fall semester, along with the deadline for submission of candidate dossiers and supporting materials, including the results of all unit-level votes. The Units must annually organize and arrange their own promotion schedule to allow sufficient time to complete the review and meet the College-level deadline.

New appointments to the ranks of Principal Lecturer, Research Professor, Research Scientist, Research Engineer, and Principal Faculty Specialist may be made at any time during the calendar year. Units must notify the College of any proposed new appointments to these ranks. The APPTK committee will schedule an ad-hoc meeting to review the proposed appointment no later than 4 weeks after receiving the dossier and supporting materials from the Unit.

## IV. Professional Track Faculty with Instructional Roles (Lecturer, Senior Lecturer, Principal Lecturer)

Initial appointments at the Lecturer level may be made at discretion of the unit where the appointment resides, and generally do not require voting by faculty or college-level review. This policy therefore only addresses the college-wide criteria for promotion to the ranks of Senior Lecturer and Principal Lecturer.

### A. Criteria for promotion or appointment to the rank of Senior Lecturer

1. Candidates for promotion from Lecturer to the rank of Senior Lecturer should “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) and shall exhibit promise in developing additional skills in the areas of research, service, mentoring, or program development.” Significant and extended professional experience may be substituted for instructional experience, provided it is essential to the instructional envisioned for the appointee. Appointments to the rank of Senior Lecturer are typically one to five years and are renewable.

2. The College specifically recognizes and encourages teaching excellence as evidenced by student evaluations, student and alumni feedback, peer evaluations, the adoption of innovative classroom practices, incorporation of modern instructional tools (software, technology, videography, demonstrations), curriculum development, effective training and supervision of teaching assistants, advising or mentoring of student organizations, outreach activities, and service to campus and professional communities.

B. Criteria for appointment or promotion to the rank of Principal Lecturer

1. “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 full-time service or its equivalent as a Senior Lecturer (or similar appointment at another institution) and/or the equivalent of 5 years full-time professional experience as well as demonstrated excellence in the areas of research, service, mentoring, or program development.” 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.
2. Principal Lecturers, by virtue of their sustained record of exemplary teaching, are expected to play a role in advising, guiding, directing, supporting or mentoring the instructional activities of others, including newly appointed Lecturers in the college.

C. Additional Criteria (all ranks)

If the appointee has specific instructional responsibilities, roles or expectations among or in addition to those mentioned above (and consist with the title and rank, as per II.B), they should be described in the individual’s appointment agreement. In addition to the criteria outlined here and in the Unit-level policy, appointees or candidates for promotion should be evaluated based upon these responsibilities.

D. Procedural guidelines for promotion to Senior Lecturer and Principal Lecturer

Units must compose their own guidelines, policies and procedures for appointment and promotion to these ranks. However, all unit-level policies and procedures must, at minimum, adhere to the following:

1. The Unit-level and College-level policies, procedures and criteria for professional-track faculty must be made available and communicated to all Lecturers and Senior Lecturers upon their hiring or initial appointment.
2. Units are responsible for establishing the annual deadlines and schedules for professional track faculty to request consideration for promotion, and these deadlines must be announced to all professional-track faculty. For promotions to Principal Lecturer, the Unit-level timeline must comply with the College-level deadlines for review by the College APPTK committee.

3. Any existing Lecturer or Senior Lecturer who meets the eligibility criteria may request to be considered for promotion to the next rank. New appointees must be nominated for appointment by an existing tenured or professional-track faculty member in the unit -- typically the individual to whom the appointee would directly report. In such cases the nominating letter must accompany the candidate's dossier.
4. Unit policies must clearly specify what materials the candidate should provide as part of their promotion dossier. The candidate-provided items must include, at minimum, the following items:
  - a) Curriculum Vita
  - b) Professional Statement
  - c) Teaching Portfolio, including a summary of instructional activities, course enrollments, and student evaluations
5. For promotions of candidates who are presently appointed in the college, the unit must organize and conduct at least one peer evaluation in which another (professional, tenured, or tenure-track) faculty member observes the candidate in an instructional setting and provides a concise evaluative summary to be included in the candidate's dossier.
6. The Unit must hold a faculty vote on the promotion. Eligible faculty voters must include all of the Unit's instructional professional-track faculty at or above the promotion rank, as well as tenured or tenure-track faculty at or above the equivalent rank. (I.e., Only Associate Professors, Senior Lecturers and above may vote on promotions to Senior Lecturer. Only Professors and Principal Lecturers may vote on promotions to Principal Lecturer.)
7. In addition to the candidate-provided items, the dossier must include, at minimum:
  - a) Concise summary of the vote
  - b) Letter from the Department/Unit Chair

Department/unit policies may, optionally, request or require student letters and peer evaluations, and may adopt additional evaluation criteria beyond those enumerated here.

For appointments and promotions to Senior Lecturer, the final dossier and unit recommendation is forwarded to the College for a final decision by the Dean or designee.

For appointments and promotions to Principal Lecturer, the final dossier and unit recommendation is forwarded for consideration by the College APPTK committee.

- V. Professional Track Faculty with Research Roles (Post-Doctoral Associate, Assistant Research Professor, Assistant Research Scientist, Assistant Research Engineer, Associate Research Professor, Associate Research Scientist, Associate Research Engineer, Research Professor, Research Scientist, and Research Engineer)

Initial appointments at the Post-Doctoral Associate level may be made at discretion of the unit where the appointment resides, and generally do not require voting by faculty or

college-level review. This policy therefore only addresses the college-wide criteria for appointment and promotion to the higher ranks.

A. Criteria for appointment to the Ranks of Assistant Research Professor, Assistant Research Scientist, and Assistant Research Engineer

These ranks are “generally parallel to Assistant Professor”, and within the College of Engineering, all three ranks are to be considered equivalent for the purpose of seniority, privilege, committee representation, service expectation, and voting eligibility. (For example, Assistant Research Engineers are eligible to vote on future appointments to the rank of Assistant Research Scientists, and vice versa.)

“Appointees should be qualified and competent to direct the work of others (such as technicians, graduate students, other research personnel). An earned doctoral degree will be a normal minimum requirement for appointment at these ranks. Appointments to these ranks are typically one to three years and are renewable.”

Appointees to the rank of Assistant Research Professor “shall have demonstrated superior research ability and potential for contributing to the educational mission through teaching or service.” Appointees to the rank of Assistant Research Scientist “shall have demonstrated superior scientific research ability.” Appointees to the rank of Assistant Research Engineer “shall have a demonstrated record of superior engineering practice, design, and development.”

The factors to be considered for the promotion committee report depend on the candidate’s professional track. In addition to the external letters, the factors to be considered when relevant are outlined below.

Relevant teaching and advisement factors to be considered in evaluating the quality of teaching and advisement should include:

1. Supervision of graduate students, and completion of M.S. and Ph.D. theses by advisees.
2. Achievement and recognition of student-advised work
3. Placement of advisees

B. Criteria for promotion to the Ranks of Associate Research Professor, Associate Research Scientist, and Associate Research Engineer

These ranks are “generally parallel to Associate Professor”, and within the College of Engineering, all three ranks are to be considered equivalent for the purpose of seniority, privilege, committee representation, service expectation, and voting eligibility. (For example, Associate Research Engineers are eligible to vote on future appointments and promotions to the rank of Associate Research Scientists, and vice versa.)

Appointees must demonstrate all of the qualifications required of the corresponding assistant research position, plus the qualifications articulated below. Appointments to these ranks are typically one to five years and are renewable.

Associate Research Professor appointees “shall have extensive successful experience in scholarly or creative endeavors, the ability to propose, develop, and manage major research projects, and proven contributions to the educational mission through teaching

or service.” Associate Research Scientist appointees “shall have significant scientific research accomplishments, show promise of continued productivity, and have the ability to propose, develop, and manage research projects.” Associate Research Engineer appointees “shall have a record of significant engineering achievement, show promise of continued productivity, and have the ability to propose, develop, and manage engineering projects.”

C. Criteria for promotion to the Ranks of Research Professor, Research Scientist, and Research Engineer

These ranks are “generally parallel to Professor”, and within the College of Engineering, all three ranks are to be considered equivalent for the purpose of seniority, privilege, committee representation, service expectation, and voting eligibility. (For example, Research Engineers are eligible to vote on future appointments and promotions to the rank of Research Scientists, and vice versa.)

Appointees must demonstrate all of the qualifications required of the corresponding associate research position, plus the qualifications articulated below. 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.

Research Professor appointees “shall have demonstrated a degree of proficiency sufficient to establish an excellent reputation among regional and national colleagues. Appointees should have a record of outstanding scholarly production in research, publications, professional achievements or other distinguished and creative activity, and exhibit excellence in contributing to the educational mission through teaching or service.” Research Scientist appointees “shall have established a national and, where appropriate, international reputation for outstanding scientific research. Appointees should provide tangible evidence of sound scholarly production in research, publications, professional achievements, or other distinguished and creative activity.” Research Engineer appointees “shall have established a national and, where appropriate, international reputation for outstanding engineering practice, design, and development. Appointees should provide tangible evidence of sound scholarly production in research, publications, professional achievements, or other distinguished and creative activity.”

D. Additional factors to be considered (all Research Faculty Ranks)

The factors to be considered in appointment and promotion decisions depend on the candidate’s professional track, and the expected level of accomplishment generally increases with rank within the research faculty sequence. Whenever appropriate and available, these items should be documented in the candidate’s CV, professional statement, or other supporting materials.

1. Advising and Mentoring of Students, Trainees and Postdoctoral Researchers

Factors to be considered include: Supervision or co-advising of graduate students, completion of M.S. theses and Ph.D. dissertations by advisees, career placement of former students, participation on thesis committees, mentoring of postdoctoral researchers, advising of undergraduate students, and all other research or technical supervision. Significant awards and recognitions of research advisees should be noted.

2. Teaching and Instruction (for appointment that include instructional responsibilities)

Factors to be considered include: record of teaching, enrollments, student evaluations, curriculum revision, course modernization, new course development, tutorials and short-courses for conferences, professional societies or local industry.

3. Research and Scholarship

a) Scholarly works (peer-reviewed journal articles, refereed conference proceedings, patents, books) Non-traditional scholarly works could include software, standards, procedures, technical reports, and design studies. The quality and selectivity of the publication outlets should be explained.

b) Presentations and Invited Talks

c) Awards and Recognitions (e.g., fellowship in professional societies, etc.)

d) External grants and contracts – a sustained record of sponsored research appropriate to the candidate’s rank and specialization.

4. Service

a) Unit, college, and university service

b) Membership and service to relevant professional societies

c) Service to the federal, state, and local governments

d) Interaction with industry and external research organizations

e) Service on editorial boards of archival journals and major conference program committees.

f) Community outreach

If the appointee has specific research responsibilities in addition to those mentioned above (and consist with the title and rank, as per II.B), they should be described in the individual’s appointment agreement. In addition to the criteria outlined here and in the Unit-level policy, appointees or candidates for promotion should be evaluated based upon these responsibilities.

E. Procedural guidelines for promotion to Assistant Research (Professor/Scientist/Engineer), Senior Research (Professor/Scientist/Engineer) and Research (Professor/Scientist/Engineer)

Units must compose their own guidelines, policies and procedures for appointment and promotion to these ranks. However, all unit-level policies and procedures must, at minimum, adhere to the following:

1. The Unit-level and College-level policies, procedures and criteria for professional-track faculty must be made available and communicated to all research professional track faculty at the time of their hiring or appointment.

2. Units are responsible for establishing the annual deadlines and schedules for professional track faculty to request consideration for promotion, and these deadlines must be announced to all professional-track faculty. For promotions to Research (Professor/Scientist/Engineer), the Unit-level timeline must comply with the College-level deadlines for review by the College APPTK committee.
3. Any existing professional track research faculty member who meets the eligibility criteria may request to be considered for promotion to the next rank. New appointees must be nominated for appointment by an existing tenured or tenure-track faculty member in the unit (normally the individual's supervisor or principle investigator), and in such cases the nominating letter must accompany the candidate's dossier.
4. Unit policies must clearly specify what materials the candidate should provide as part of their promotion dossier. The candidate-provided items must include, at minimum, the following items:
  - a) Curriculum Vita
  - b) Professional Statement
5. The department/unit must request letters of reference for the candidate. In order to solicit unbiased and confidential assessments, the request for letters must be issued by the unit (not the candidate), and should describe the criteria for the promotion and appointment, and must contain, at minimum, the candidate's CV and Professional Statement. The final dossier must include at least 3 letters for Assistant Research faculty ranks, 4 letters for Associate Research faculty ranks, and 5 letters for the highest Research Faculty ranks. For newly appointed research faculty, the nominating letter from a present tenured- or tenure-track faculty may be substituted for a solicited letter. The letters are to be included in the candidate's dossier for all future voting and consideration.
6. The Unit must hold a faculty vote on the promotion. Eligible faculty voters must include all of the Unit's research professional-track faculty at or above the promotion rank, as well as tenured or tenure-track faculty at or above the equivalent rank. (E.g., Only Associate Professors, Senior Research Scientists, and equivalent or higher ranks may vote on promotions to Senior Research Scientist. Only Professors, Research Professors, and equivalent ranks may vote on promotions to Research Scientist.)
7. Upon completion of the unit-level vote, the following must be added to the dossier:
  - a) Concise summary of the vote
  - b) Letter from the Department/Unit Chair/Director

These requirements specify the minimum acceptable policy standards for all units in the College. Department/unit policies may, optionally, request or require additional items in the dossier, such as teaching enrollments and evaluations (where appropriate and available), student recommendations, citation reports, representative scholarly publications or engineering design portfolio. Unit policies may adopt additional evaluation criteria beyond those enumerated here.

Units may, optionally, appoint a promotion committee comprised of up to three eligible voting faculty (professional or tenure-track) to collect the required information and assemble the required dossier prior the faculty vote.

For appointments and promotions to Senior Research Faculty ranks, the final dossier and unit recommendation is forwarded to the College for a final decision by the Dean or designee.

For appointments and promotions to Research (Professor/Scientist/Engineer), the final dossier and unit recommendation is forwarded for consideration by the College APPTK committee.

#### VI. Professional Track Faculty with Specialist Roles (Faculty Specialist, Senior Faculty Specialist, Principal Faculty Specialist)

Initial appointments at the Faculty Specialist level may be made at discretion of the unit or school where the appointment resides, and generally do not require voting by faculty or college-level review.

Below are the A. James Clark School's minimum criteria for appointments into the Faculty Specialists Series. Note that, in some cases, education may be substituted for professional work experience at of rate of two years for a Master's degree and four years for a PhD degree.

##### A. Criteria for appointment to the rank of 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 post-doctoral 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."

Units in the College will establish criteria to evaluate the demonstration of "potential for excellence" in the above areas. Candidates shall have a minimum of a Bachelor's degree and 2 years of professional experience in a related area. A Master's degree can be substituted for the 2 years of the professional experience.

##### B. Criteria for appointment or promotion to 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."

Units in the College will establish criteria to evaluate the demonstration of "superior ability" in the above areas. Candidates shall have a minimum of a Master's degree and 2 years of professional experience in a related area or have at least 3 years full-time as a

Faculty Specialist or equivalent. A PhD degree can be substituted for the 2 years of professional experience.

C. Criteria for appointment or promotion to 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.”

Units in the College will establish criteria to evaluate the demonstration of a “proven record of excellence” in the above areas. Candidates shall have a minimum of a PhD degree and 4 years of professional experience in a related area or have at least 5 years full-time experience as a Senior Faculty Specialist or equivalent.

D. Additional factors to be considered (all Faculty Specialist Ranks)

Unlike tenured and tenure-track faculty, whose performance is evaluated based on their contribution to research, teaching, and service, the performance of PTK faculty should be evaluated on the primary job responsibilities of the PTK appointment as stated in the individual’s offer letter, appointment agreement and/or job description. Other factors the unit may want to consider in reviews of promotion within the Faculty Specialist Ranks may include assessments of the candidates’

1. Potential to make significant contributions to the profession
2. Potential to work collaboratively with professional colleagues
3. Potential for recognition as a leader in the profession
4. Potential to contribute to the achievement of the goals of the College
5. Interest in serving on division, departmental, or university committees
6. Creative abilities

E. Procedural guidelines for promotion to Senior Faculty Specialist or Principal Faculty Specialist

Units must compose their own guidelines, policies and procedures for appointment and promotion to these ranks. However, all unit-level policies and procedures must, at minimum, adhere to the following:

1. The Unit-level and College-level policies, procedures and criteria for professional-track faculty must be made available and communicated to all specialist-track faculty at the time of their hiring or appointment.
2. Units are responsible for establishing the annual deadlines and schedules for professional track faculty to request consideration for promotion, and these deadlines must be announced to all professional-track faculty. For promotions to Principal Faculty Specialist, the Unit-level timeline must comply with the College-level deadlines for review by the College APPTK committee.

3. Any candidate who meets the eligibility requirements for promotion may request to be considered. New appointees at the Senior or Principal Faculty Specialist rank must be nominated for appointment by an existing tenured or professional-track faculty member in the unit -- typically the individual to whom the appointee would directly report. In such cases the nominating letter must accompany the candidate's dossier.
4. Unit policies must clearly specify what materials comprise their promotion dossier. The promotion dossier must include, at minimum, the following items:
  - a) Curriculum Vita
  - b) Professional Statement, documenting the candidate's professional activities, administrative, and/or managerial responsibilities, productivity, creativity, and professional development
  - c) Nomination letter (for new appointees only)
  - d) Names and contact information for at least two references. Suggested references could include constituents served, internal or external professional colleagues, the individual's supervisor or principle investigator and if relevant, employees who report directly to the candidate.
5. While the candidate may confirm availability and willingness of potential references prior to applying for promotion, in order to solicit unbiased and confidential assessments, the request for letters must be issued by the unit (not the candidate), and should describe the criteria for the promotion and appointment, and must contain, at minimum, the candidate's CV and professional statement. The final dossier must include at least 2 letters. The letters are to be included in the candidate's dossier for all future voting and consideration.
6. The Unit must hold a faculty vote on the promotion. The Unit policy must describe whether (and in what cases) a full faculty vote is required, or whether a smaller ad-hoc promotion committee or other representative faculty body may conduct the vote. In either case, those deemed eligible to vote must include specialist-track professional faculty at or above the promotion rank, as well as tenured or tenure-track faculty at or above the equivalent rank. (E.g., Only Senior Faculty Specialists and Associate Professors and higher may vote on promotions to Senior Faculty Specialist. Only Principal Faculty Specialists and Professors may vote on promotions to Principal Faculty Specialist.)
7. Upon completion of the unit-level vote, the following must be added to the dossier:
  - a) Concise summary of the vote or committee decision
  - b) Letter from the Department/Unit Chair/Director

For appointments and promotions to Senior Faculty Specialist ranks, the final dossier and unit recommendation is forwarded to the College for a final approval by the Dean or designee.

For appointments and promotions to Principal Faculty Specialist, the final dossier and unit recommendation is forwarded for consideration by the College APPTK committee.

#### F. Faculty Assistant

“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 should be eligible for appointment to an appropriate faculty position or encouraged to apply for a staff position.” Possible faculty-level appointments for those holding the rank of Faculty Assistant could include Assistant Research Scientist/Engineer/Professor, Lecturer, or Faculty Specialist, as explained below.

A PTK faculty may be moved from a Faculty Assistant position to a Faculty Specialist position at any time, as long as the individual satisfies the above criteria for the Faculty Specialist title or has served satisfactorily for three years at this title and meets their unit’s established criteria. This will not be considered a promotion.

Since the Faculty Assistant positions are limited to a three year term, at the end of the term the individual will either need to be terminated, moved to another Faculty position (such as Faculty Specialist), or compete for an Exempt position. Anyone with less than a ‘Satisfactory’ rating from the immediate supervisor should not be moved to another faculty position.