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APPOINTMENT, PROMOTION, AND TENURE POLICIES AND PROCEDURES
DEPARTMENT OF ECONOMICS

This document specifies the policies and procedures to be used by the Department of Economics for appointment, tenure, and promotion decisions. It is consistent with the UNIVERSITY OF MARYLAND APT MANUAL AND GUIDELINES as updated on October 11, 2020.[1]

All tenure-track and tenured faculty shall be provided a copy of these procedures upon appointment and whenever the procedures are revised.

A. CRITERIA FOR APPOINTMENT, PROMOTION, AND TENURE

The criteria for appointment, promotion, and tenure reflect the objectives for the University as described in University of Maryland's Policy and Procedures on Appointment, Promotion, and Tenure of Faculty (Policy Number: 11-1.00(A): "The University of Maryland is dedicated to the discovery and the transmission of knowledge and to the achievement of excellence in all academic disciplines, and to the growth and development of our society. To achieve this, the University is committed to developing and sustaining an excellent and diverse faculty."[2]

Faculty must have made significant contributions in all aspects of scholarship, including research, teaching, and service as described below. Scholarly research contributes to the advancement of knowledge and is a cornerstone of the faculty's role at a research institution such as UMCP. Teaching and service activities are also integral to the faculty's responsibilities, and faculty activities in research, teaching, and service are often closely linked, with success in one area strengthened by activities in another.

The role of research, teaching, and service in appointment, promotion, and tenure varies with rank, as discussed below.

1. Appointment to Assistant Professor. Appointees must exhibit the promise of being able to conduct high quality research that will make significant contributions to the profession, and the ability to provide high quality teaching and advising at both the graduate and undergraduate level, including advising doctoral students. Appointees at the time of appointment must show promise that they can meet the standards for tenure at the time of their

[1] https://faculty.umd.edu/sites/default/files/documents/APTManual_0.pdf Accessed on December 15, 2020
[2] https://policies.umd.edu/assets/section-ii/II-100A.pdf Accessed on January 14, 2021

expected tenure review. This promise of future achievement should be evident in an appointee's education, training, and research.

2. Appointment and Promotion to Associate Professor with Tenure. Superior intellectual attainment, as evidenced in both research and teaching, is an indispensable qualification for promotion or appointment to a tenured position. Candidates must have completed a significant body of research that is recognized by the profession, including research published in leading economics journals. This research must include work that makes a significant contribution to the field in question and that is recognized as such by leading scholars in the field.

A candidate's research program must also indicate, as evidenced by completed work and/or work in progress, the promise of making significant further scholarly contributions.

Evidence of achievements will be exhibited in the quality of published research, including publication in highly ranked journals with the highest editorial standards, by evaluations of other scholars, and by other professional activities indicating the candidate's contributions to research. Research publications will be evaluated, not merely enumerated.

Candidates must exhibit high quality teaching as a necessary condition for promotion or appointment to a tenured position. Relevant teaching activities include both graduate and undergraduate education, as well as advising activities. Successful teaching in the graduate program and in advising dissertation students is an important component of the Department's expectations regarding teaching. Helping students with dissertation proposals and serving as a reader on dissertation committees are a normally expected part of teaching activities.

For promotion, candidates must also have a record of service that could include service to the Department, the Campus, the profession, federal, state or local governments or the community at large. The expectation for service activities of assistant professors is less than that for tenured faculty. The most important dimensions of expected service are participation on departmental committees, participation in faculty recruiting, and participation in graduate workshops.

Conclusions about the merits of an appointment or promotion case should balance the candidate's achievements in all aspects noted above.

3. Appointment and Promotion to Full Professor. Candidates must have an exemplary record in research, teaching, and service. Research scholarship must include important contribution(s) to a field, which are widely recognized by leading scholars and which contribute to the candidate's reputation as a leading scholar. Candidates' research must be published in leading journals with the highest editorial standards, and in scholarly books or edited volumes produced by publishers with demanding editorial standards. These research accomplishments must also be evident in the recognition by other leading scholars, participation in professional conferences, citations by other researchers, and by the impact of the candidates' research on other scholars.

Candidates must also have a record of distinction in teaching and service. Teaching contributions will normally include both graduate and undergraduate teaching, including an active role in graduate instruction, departmental and graduate-student workshops, and support and advising of dissertation students. Chairing dissertation committees as well as assisting with dissertation proposals or serving as a reader on dissertation committees are normally important expected teaching responsibilities.

The standard for service includes contributions to the Department, Campus, and the profession, and could also include service to federal, state or local governments or to the community at large. Expected contributions could include aspects of departmental activities, especially faculty recruiting and committee activities, contributions in the formulation or administration of departmental, college, or University policies, and service outside the University, such as when faculty contribute outside the University through their professional expertise. The standard for promotion and appointment to Full Professor with respect to teaching and service are broader than those for promotion and appointment to the rank of Associate Professor.

Conclusions about the merits of a case of promotion or appointment to Full Professor should balance the candidate's achievements in all aspects noted above.

B. APPOINTMENT PROCESS

External faculty appointments must meet the criteria stated in section A above, with the same criteria applied for appointments as for promotions of existing faculty. Candidates will be considered by the Department's faculty search committees, which make recommendations for consideration and vote by the faculty. The Search Committees for assistant professor appointments (Committee on Recruitment and Appointment of Assistant Professors) and for associate and full professor appointments (Committee on Senior Recruitment) are standing committees of the Department whose membership is determined at the beginning of each academic year by majority vote of the tenure and tenure-track faculty. All search committee meetings are open to the faculty. All committee meetings in which external faculty candidates are being considered and/or voted upon are open to the faculty.

The candidates for Assistant Professor appointments are determined by the vote of the Committee on Recruitment and Appointment of Assistant Professors. After the search process is complete, candidates to be recommended for assistant professor appointments are determined by vote of the First Level Review Committee (all Assistant Professors, Associate Professors, and Full Professors).

Recommendations for associate and full professor appointments are initiated by a majority vote of the Committee on Senior Recruitment. Review procedures for associate and full professor appointments follow the same procedures as for tenure and promotion decisions, as described, excepting items mentioned in footnotes. The First Level Review Committee for associate professor appointments is the Committee on the Recruitment and Appointment to

Associate Professor (all Associate Professors and Full Professors). The First Level Review Committee for full professor appointments is the Committee on the Recruitment and Appointment to Full Professor (all Full Professors). Approval requires a majority vote (of persons voting) of the First Level Review Committee. Members on leave of absence may vote if they are familiar with a candidate's record. Faculty who are absent at the meeting of the First Level Review Committee in which a vote was conducted may record their vote.

C. TENURE AND PROMOTION REVIEW PROCESSES[3]

1. Mentoring of Assistant Professors and Untenured Associate Professors. The Department shall provide for the mentoring of each assistant professor and of each untenured associate professor by one or more members of the senior faculty other than the chair. For each faculty member eligible for mentoring, the Department Chair shall designate each year one senior faculty member who will coordinate and be responsible for the mentoring of the faculty member eligible for mentoring. Mentors should 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 criteria for tenure and/or promotion. Following appropriate consultations with members of the Department's faculty, the Department Chair shall independently provide each assistant professor and each untenured associate professor annually with an informal assessment of his or her progress. Favorable informal assessments and positive comments by mentors are purely advisory to the faculty member and do not guarantee a favorable tenure and/or promotion decision. Faculty providing mentoring will offer their best professional advice, but there should be no presumption that their advice implies that they will be positive advocates at the time of tenure/promotion consideration.

2. Intermediate Review. An Assistant Professor on an initial three-year contract must be given an intermediate review in the third year (or equivalent, in the case of an approved tenure delay), by the Department's tenured faculty. A three-person advisory subcommittee of the tenured faculty will review the work, report to the tenured faculty, and assist in preparing the faculty's report to the assistant professor being reviewed. The membership of the subcommittee will be made known to the assistant professor being reviewed, who will be encouraged to discuss the review with the subcommittee at the conclusion of the review. A similar review will be made of tenured associate professors in the fifth year of a tenured associate professor's appointment, and every five years thereafter, discussing progress toward promotion. A three-person advisory subcommittee of the full professors will review the work, report to the full professors, and assist in preparing the faculty's report of progress to the associate professor being reviewed. The membership of the subcommittee will be made known to the associate professor being reviewed, who will be encouraged to discuss the review with the subcommittee at the conclusion of the review.

[3] Not relevant to appointment procedures

3. Tenure Review. An Assistant Professor whose appointment has been extended to six years must be given a formal tenure review no later than in the sixth year (or equivalent, in the case of an approved tenure delay). He or she may request a tenure review prior to the sixth year.

4. Promotion to Full Professor. The Committee on Promotion to Full Professor (all full professors) will annually consider whether associate professors should be given a formal review for promotion to full professor. The faculty member may decline an invitation to be considered for promotion. A tenured faculty member may request, at any time, a formal review for promotion to Full Professor.

D. REVIEW COMMITTEES

1. Tenure Review. The First Level Review Committee (FRC) for decisions on promotion or appointment to associate professor with tenure shall be The Committee on Promotion to Rank of Associate Professor (all Associate Professors and Full Professors with tenure in the Department of Economics). By majority vote this FRC may extend voting or non-voting membership to Associate and Full Professors who hold joint appointments in the Economics and some other Department(s) with tenure in another Department.

2. Full Professor Review. The First Level Review Committee (FRC) for decisions on promotion or appointment to Full Professor is the Committee on Promotion to Rank of Professor (all Full Professors in the Department). By majority vote this FRC may extend voting or non-voting membership to Full Professors who hold joint appointments in the Economics and some other Department(s) with tenure in another Department.

E. PROCEDURES OF THE FIRST LEVEL REVIEW COMMITTEES

1. Chairpersons of the FRC. The FRCs shall select their own chairpersons who shall serve as the spokespersons representing the Committee in all communications regarding the case to higher level review units.

2. Advisory Subcommittee. The FRCs shall select an Advisory Subcommittee for each candidate, consisting of three FRC members. The primary functions of the Advisory Subcommittees consist of advising the candidate[4], collecting and reviewing the relevant material, and preparing a recommendation to the entire FRC. The membership of the Advisory Subcommittee will be made known to the candidate being reviewed.[5]

3. Voting Procedures. Voting members of the FRC are expected to participate in the Faculty deliberations on the case. Members on leave of absence who vote are expected to familiarize themselves with a candidate's record. Faculty who are absent at the meeting of the First Level Review Committee in which a vote was conducted may record their vote.

[4] Not relevant to appointment procedures

[5] Not relevant to appointment procedures

The vote on a candidate's appointment, tenure, or promotion shall be taken by secret ballot. The vote of eligible members of the entire FRC shall constitute the faculty recommendation of the department level review. A majority of favorable votes shall constitute a positive recommendation of the faculty.

F. THE ADVISORY SUBCOMMITTEE

1. Meeting with the Candidate.[6] The Chair of the First Level Review Committee shall meet with the candidate to discuss procedures, indicate what materials the candidate must provide, and provide University guidelines for selecting and preparing these materials and making recommendations for outside reviewers to the candidate. The candidate will be asked to submit a Personal Statement advocating the case for tenure and/or promotion based on the applicable criteria for tenure and/or promotion, the candidate's record, and on the candidate's perspective of his/her own achievements in the context of the discipline. This statement may include a discussion of the candidate's ongoing and future research plans. Both the curriculum vitae and the Personal Statement are to be included with each request for external evaluation.

2. Outside Evaluators. The Advisory Subcommittee shall solicit letters of evaluation from six or more widely recognized authorities in the field. The letter writers will be chosen from a list that shall include individuals nominated by the candidate. At least three letters and at most one-half of the requested letters shall be from persons nominated by the candidate. Each evaluator will receive a curriculum vitae of the candidate, the Personal Statement, and a sample of the candidate's published and/or unpublished papers that have been chosen by the candidate. The letters from all evaluators shall be treated as confidential and be included in the candidate's dossier. The letters from evaluators who were suggested by the candidate shall be so identified in the dossier.

3. Summary Statement of Personal Achievements.[7] The Advisory Subcommittee shall collect all materials to be reviewed, including those provided by the candidate, and prepare a Summary Statement of Personal Achievements that provides a factual overview of the candidate's activities and achievements in research, teaching, and service. The Summary Statement shall be factual and objective, not evaluative. The Summary Statement of Personal Achievements shall be reviewed by the candidate at least two weeks before the meeting at which the evaluative review of the candidate occurs. If the candidate does not accept the Summary Statement, the candidate has the opportunity to submit a Response to the Summary Statement, which must be considered by the First Level Review Committee. The Summary Statement is an internal statement not to be provided to external reviewers.

[6] Not relevant to appointment procedures
[7] Not relevant to appointment procedures

4. Report to the Initial Review Committee. The Advisory Subcommittee shall present its recommendations on the candidate to members of the FRC.

G. REVIEW BY THE DEPARTMENTAL CHAIR

The Department Chair shall conduct an independent review of the candidate, and shall prepare a written report containing the Chair's recommendation and the bases for the recommendation.

H. REPORT TO THE COLLEGE

The Chair of the FRC shall prepare a written report including its recommendation for appointment, or promotion, and/or tenure, the faculty vote, and the bases for the decision. Faculty participating in the Department's deliberation who wish to express a dissenting view are free to do so, and any such written statement shall be included in the materials sent forward to the next level of review. This report and any dissenting views submitted by the faculty shall be made available to the members of the FRC and be submitted to the Departmental Chair who shall forward the report(s) together with the Department Chair's report to the college level review committee.

I. NOTIFICATION TO THE CANDIDATE[8]

Within two weeks of completion of the Department level review, the Department Chair shall inform the candidate of the recommendations of the Chair and the FRC, including the number of positive and negative votes and abstentions. The Chair shall provide the candidate with a letter summarizing the basis for the decisions. The Chair's letter shall be made available to all members of the FRC. These letters shall become part of the candidate's dossier. In addition to providing the aforementioned letter to the candidate, the Department Chair should make every effort to inform the candidate in person of the Department's decision.

[8] Not relevant to appointment procedures

APPENDIX A: Materials to be provided by a candidate for promotion and/or tenure

1. Curriculum Vitae: Dated and signed.

2. Personal Statement by Candidate: This should include an overview of the candidate's past and planned future scholarly, teaching and service activities. It should assist evaluation committees in understanding the directions of the candidate's intellectual and professional activities.

3. Publications and other Research Information: Access to copies of every publication, papers accepted for publication, working papers and work in progress. Candidates may also suggest which papers should be sent to the outside evaluators. Candidates may also submit information on (funded or unfunded) research grants and grant applications, book contracts etc. Details about citations of the candidate's work may be included.

4. Teaching Portfolio: List of courses taught, selection of syllabi and examinations, and other relevant participation in teaching activities. Candidates should also submit a list of recent graduate student supervisees, information about teaching evaluations and similar information on teaching.

5. Information about University Service: Information on Departmental, College, Campus and System Service.

6. Information about Outside Professional Services: Service as editor of journals, service to federal, state or local governments or the community at large, service as a member of professional committees, and similar professional activities.

7. The names of qualified and eligible external evaluators, consistent with BSOS and University policies.