

APPROVED BY THE FACULTY

on

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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 2005-2006 APPOINTMENT, PROMOTION, AND TENURE PROCEDURES MANUAL.

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 the flagship institution of the State of Maryland, as described in the 1988 Statue reorganizing higher education in Maryland (Chapter 246 of the Laws of Maryland, 1988). The Act directs the University of Maryland system to: "maintain and enhance the College Park campus as the State's flagship campus with programs and faculty nationally and internationally ranked for excellence in research and the advancement of knowledge."

Faculty must have made significant contribution 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. Contributions in teaching and service are enriched to the extent that faculty members incorporate their research in them; research activities can be enhanced through scholarly contributions derived from teaching and service activities.

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 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 the 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.

Candidates must also have served the Department, the Campus, the profession, the State of Maryland (in the case of promotion), 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 national and international reputation as a leading scholar. Candidates' research must be published in the 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 continuing 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, the profession, and could include the State of Maryland (in the case of promotion) and the community at large. Expected contributions include all aspects of departmental activities, especially faculty recruiting and committee activities, and some contributions in the formulation or administration of departmental 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.

Department recommendations for assistant professor appointments are initiated by a majority vote of the Committee on Recruitment and Appointment of Assistant Professors. Recommended candidates thereafter require a majority vote of the First Level Review Committee (all tenure and tenure-track faculty).

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 is the Committee on the Recruitment and Appointment of Associate and Full Professors (a standing committee of all tenured faculty). For each associate or full professor candidate under consideration, the First Level Review Committee will select a chair as well as an Advisory Committee of three persons that will review relevant material, solicit outside evaluators, and make a recommendation to the First Level Review Committee. Approval is based on majority vote (of persons voting) of the First Level Review Committee, with all associate and full professors eligible to vote on associate professor candidates and all full professors eligible to vote for full professor candidates. 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 PROCESSES¹

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, 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

¹ Not relevant to appointment procedures

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, 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. 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. 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. Faculty members on leave of absence shall not be counted in the voting base of this FRC unless they are able to review the candidate's case and participate in the decision.

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. Faculty members on leave of absence shall not be counted in the voting base of this FRC unless they are able to review the candidate's case and participate in the decision.

E. PROCEDURES OF THE FIRST LEVEL REVIEW COMMITTEES

1. Chairpersons of the FRC. The FRC's 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 FRC's shall select an Advisory Subcommittee for each candidate, consisting of three FRC members. The Chair of the FRC may serve as the Chair or as a member of any or all of the Advisory Subcommittees. The primary functions of the Advisory Subcommittees consist of advising the candidate², 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.³

3. Voting Procedures. Eligibility to vote on the recommendation for the candidate's tenure and/or promotion shall be based on the following two criteria:

- a. Voting members of the FRC are expected to participate in the Faculty deliberations on the case. 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.
- b. Voting members of the FRC must sign a statement attesting that they have examined the candidate's file.

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.⁴ 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.⁵ At least three letters and at most one-half of the requested letters shall be from persons nominated by the candidate.⁶ The Advisory Subcommittee will ask the candidate to submit the names of at least three outside evaluators.⁷ Each evaluator will receive a curriculum vitae of the candidate and a sample of the candidate's published and/or unpublished papers that have been chosen by the candidate. The

² Not relevant to appointment procedures

³ Not relevant to appointment procedures

⁴ Not relevant to appointment procedures

⁵ Not relevant to appointment procedures

⁶ Not relevant to appointment procedures

⁷ Not relevant to appointment procedures

letters from all evaluators shall be treated as confidential and be included in the candidate's file. The letters from evaluators who were suggested by the candidate shall be so identified.⁸

3. Summary Statement of Personal Achievements.⁹ 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.

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. The Chair's written report and recommendation shall be made available to the FRC.

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 CANDIDATE¹⁰

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 bases 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 file. 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

⁹ Not relevant to appointment procedures

¹⁰ 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: One copy 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 Information: 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, as a member of professional committees, and similar professional activities.