

APPOINTMENT, PROMOTION, AND TENURE PROCEDURES

Department of Communication

I. *Committee Membership.*

- A. *Appointment, Promotion, and Tenure (APT) Committee.* All full time faculty members holding the rank of Associate Professor or Professor who have been awarded tenure in the department are members of the Committee.¹ In addition, faculty members tenured in the University of Maryland at College Park who have appointments of .49 or more in the department are members of the Committee.²
- B. *Senior APT Committee.* All members of the APT Committee holding the rank of Professor are members of the Committee.³ In the event that the number of members at the rank of Professor is fewer than three, the Dean of the College of Arts & Humanities may appoint one or more eligible faculty members from related units for review and assessment purposes. A member of the Senior APT Committee will be elected Chair of the APT Committee and will preside at all APT and Senior APT meetings.
- C. *Emergency APT Committee.* Occasionally, new faculty appointments must be reviewed during the summer. For non-tenured, tenure-track positions filled during the summer, the Department Chair and/or APT Chair may convene an Emergency APT Committee. All members of the APT Committee in residence (on staff or otherwise available) are members of this committee. The Department Chair and/or APT Chair will make a conscientious effort to notify all APT Committee members of the convening of an Emergency Committee, and recommendations of an Emergency Committee of fewer than the full APT Committee will require a 2/3 affirmative vote.

¹ Specified by the Campus APT document. Section IV.A.1.

² Campus APT rules allow the department to specify additional membership beyond its full time faculty. Section IV.A.1. In addition, those procedures specify additional requirements in forming the committee if fewer than three faculty members are tenured in the department.

³ Specified by the Campus APT procedures. Section IV.A.1. The same section specifies additional members to be appointed to the committee in the event that fewer than three faculty from the department are eligible for the committee.

- D. *Subcommittees.* For various activities of Committees that cannot reasonably be performed by the full Committee, the APT Chair may appoint a subcommittee from among the Committee. Subcommittee membership must be approved by a majority of the committee. In no case may a vote of a subcommittee substitute for the vote of the APT Committee. All votes of subcommittees that influence the report of the subcommittee shall be reported to the full Committee, but no such vote shall be a part of any written report. Only the vote of the full APT Committee shall be the official vote on decisions of the Committee. All reports of subcommittees must be submitted to the parent committee and become official statements of the APT process only when adopted by the full committee.⁴
 - E. *Department Chair Participation.* The Department Chair is ex-officio member of all APT Committees with voice but without vote.⁵
 - F. *Chair of the Review Subcommittee.* Each subcommittee having assessments to be performed during the year shall elect a Chair at its first meeting of the academic year. The Chair's duties shall include writing the recommendation (including the vote of the committee and the basis for the decision) on the candidate and recording the transactions at the review meeting and reviewing the Department Chair's letters to the candidate to ensure their accurate reflection of the APT Committee's recommendation and rationale.⁶
 - G. *Quorum.* A quorum for all meetings of the APT Committee and its subcommittees shall be a majority of the voting membership, excluding those on official leave.
 - H. *Voting.* All votes to approve reports or to recommend personnel actions to the department chair must be cast in writing, as secret ballots, unless unanimous consent is given for another method of voting. Votes on matters of procedure and during editing processes may be taken by voice or by show of hands; however, any such vote shall be conducted by written secret ballot if requested by any member of the committee present at the meeting.
- II. *Faculty Mentor.* The Department Chair shall provide for the mentoring of each assistant professor and of each untenured associate professor by one or more members of the senior

⁴ Although subcommittees may be formed advisory to the APT Committee, Section IV.A.1 of Campus APT procedures specifies that only the vote of the full APT Committee shall be the vote on decisions of the Committee.

⁵ Section IV.A.1 of the campus APT regulations permit the department to establish rules governing participation by the Chair.

⁶ Required by Section IV.A.1 of the Campus APT procedures.

faculty other than the Department Chair. Mentors should encourage, support, and assist these faculty members and be available for consultation on matters of professional development. With specific reference to teaching and advisement; research, scholarship, and creative activity; and service, mentors should advise tenure-track faculty of the prevailing standards of quality and of the most effective ways to demonstrate that they meet the standards. Mentors need to be frank and honest about the progress of the faculty member toward fulfilling the criteria for tenure and/or promotion. Comments by mentors are purely advisory to faculty members, do not represent the views of the APT Committee, and do not assure a favorable tenure and/or promotion decision.

III. *Assessments & Reviews.*

A. *Initial Appointment.* All appointments to tenure-track positions in the department must be referred to the APT committee for approval (or to an Emergency Committee under the conditions described in Section I.C. above). All initial appointments at the rank of full professor must also receive the approval of the Senior APT Committee. The appropriate Committee may request that the APT Chair supervise the collection of material required to conduct their deliberations.⁷ Other procedures for appointments are governed by existing university policy.

B. *Annual Informal Assessments.*

1. Following appropriate consultation with APT committee, the Department Chair shall independently provide each assistant professor and each untenured associate professor annually with an informal assessment of his or her progress. With specific reference to teaching and advisement; research, scholarship, and creative activity; and service, the Department Chair should advise tenure-track faculty of the prevailing standards of quality and of the most effective ways to demonstrate that they meet the standards.
2. Informal assessments by the Department Chair are purely advisory to the faculty member and do not assure a favorable tenure and/or promotion decision. Informal assessments shall be based in large part on a file constructed for purposes of the assessment by the faculty member to be assessed. The file may contain any material that the faculty member believes pertinent to the assessment, but it must contain at least the following: the

⁷ Additional information on appointments is contained in Section III of the Campus APT procedures.

faculty member's *curriculum vitae*, copies of all published research, copies of course syllabi representative of the faculty member's teaching assignments in the department, and summary reports of teaching evaluations for each undergraduate and graduate course taught during the period assessed.

3. At the discretion of the Department Chair, one or more faculty members may be asked to provide a written report of the teaching of the faculty member based in part on one or more classroom visits. These visits shall be at times deemed convenient by the faculty member being assessed. The faculty member being assessed may, at his/her discretion, provide in advance of each classroom visit whatever material he or she deems useful to the reporters' ability to understand the class visited.
4. The faculty member being assessed shall be given a copy of the annual informal assessment and shall have the right to respond in writing. Any such response shall be submitted to the Department Chair within one week of the faculty member's receipt of the assessment. The Department Chair shall report to the APT Committee the contents of each annual informal assessment in a timely fashion. The APT Committee shall have the right to respond in writing to any annual informal assessment. Any such response shall be submitted to the Department Chair within two weeks of the APT Committee's receipt of the Department Chair's report of that assessment. Each annual informal assessment shall be included in the faculty member's personnel file with any material attached as requested by the faculty member or the APT Committee. Annual assessments are separate from the tenure review process, but shall become a part of the information collected for the tenure review.

C. *Formal Intermediate Reviews*

1. *Assistant Professors.* The APT Committee shall perform a formal intermediate review of the progress toward meeting the criteria for tenure and promotion in the third year of an assistant professor's appointment. The purposes of these intermediate reviews are to assess the candidate's progress toward promotion, to inform the reviewed faculty member of that assessment, to inform the faculty members more senior to that faculty member who will eventually consider him or her for promotion of that assessment, and to advise the candidate and Department Chair of steps that should be taken to improve prospects for promotion. These intermediate reviews shall be structured exactly like reviews for tenure and/or promotion (as described in this document), with the exception that intermediate reviews will not involve

external evaluations of the faculty member. The Department Chair shall consider this formal intermediate review in determining contract renewal.

2. *Tenured Associate Professors.* The APT Committee shall perform a formal intermediate review of the progress towards meeting the criteria for promotion to the rank of professor in the fifth year of a tenured associate professor's appointment and every five years thereafter. An associate professor may request an intermediate review earlier than the five years specified. The purposes of these intermediate reviews are to assess the candidate's progress toward promotion, to inform the reviewed faculty member of that assessment, to inform the faculty members more senior to that faculty member who will eventually consider him or her for promotion of that assessment, and to advise the candidate and Department Chair of steps that should be taken to improve prospects for promotion. These intermediate reviews shall be structured exactly like reviews for tenure and/or promotion (as described in this document), with the exception that intermediate reviews will not involve external evaluations of the faculty member.

3. The faculty member being assessed shall be given a copy of the formal intermediate review and the department chair's review letter and shall have the right to respond in writing. Any such response shall be submitted to the Department Chair within one week of the faculty member's receipt of the review. Each formal intermediate review shall be included in the faculty member's personnel file with any material attached as requested by the faculty member or the APT Committee. Formal intermediate reviews are separate from the tenure review process, but shall become a part of the information collected for the tenure review.

D. *Tenure Review.* Tenure reviews are governed by the APT documents of the System, the Campus, the College, and the Department.

E. *Promotion Reviews.* Promotion reviews are governed by the APT documents of the System, the Campus, the College, and the Department.

IV. *Procedures for APT Committee Actions.*

A. *Calendar.* The APT Chair shall provide annually to the faculty a timetable that will govern reappointment, promotion, and tenure reviews. In addition, the Department Chair shall notify each non-tenured tenure track faculty member and the members of the APT Committee of the review procedure appropriate for that faculty member during that year.

- B. *Initiation of Review.* Responsibility for initiation of a tenure or promotion review shall rest with the faculty member seeking tenure or promotion.⁸ The faculty member shall indicate in writing to the Department Chair and to the APT Chair the wish to be reviewed. Responsibility for initiation of review for initial appointment or annual review of untenured faculty members shall rest with the Department Chair.
- C. *Construction of the Review File.*
1. The responsibility for establishing the Personal Statement advocating the faculty member's tenure and/or promotion and the review file rests with the faculty member to be reviewed.⁹ Assistance in this task by the mentor, the Department Chair and/or any member of the APT Committee is appropriate.
 2. The review file shall be constructed in compliance with the University Appointment, Promotion, and Tenure Procedures Manual effective at the beginning of the academic year in which a formal review for tenure and/or promotion will occur.¹⁰ To document the research record the file shall contain at minimum the curriculum vitae and copies of the most recent products of the faculty member's research. To document the teaching record the teaching portfolio shall contain at minimum the following: course syllabi from the faculty member's recent sections, reports of peer evaluation of teaching, and student evaluations from all undergraduate and graduate courses during the review period.
 3. When the file is complete, the faculty member being reviewed shall present it to the APT Chair with a letter stating that it is complete. The faculty member being reviewed may add material to the file after this time, but the addition must be accompanied by a dated letter stating the nature of the addition, the date it is forwarded for inclusion, and the reason for the addition. There is no requirement that decisions completed previous to the additional material be reconsidered by the Committee. Additional material may be added as a result of Committee deliberations only with a similar dated letter of addition from

⁸ The decision on review of faculty members during the year of the primary tenure review are governed by Section IV of the Campus APT procedures.

⁹ Specified in Section IV of the campus APT document.

¹⁰ Specified in Section IV of the campus APT document.

the committee to the candidate. All rights outlined under section V.A.6. of this document shall be respected in this procedure.

- D. *Preparation of the Summary Statement of Professional Achievements.* The appropriate APT committee or a subcommittee of the appropriate committee shall prepare a concise Summary Statement of Professional Achievements. The Summary Statement shall place the professional achievements of the faculty member in scholarship, research, and artistic performance in the context of the broader discipline. It shall place the faculty member's professional achievements in teaching and in service in the context of the responsibilities of the unit, the college, the University, the discipline, and the greater community.¹¹ If prepared by a subcommittee, the statement shall be reviewed and approved by the appropriate parent committee. The statement shall be presented to the faculty member by the Department Chair accompanied by a dated letter of notification. The faculty member under review shall have two weeks to respond, as specified in the Campus APT procedures. (The Summary Statement is not required on initial appointments, except those carrying tenure, nor on intermediate reviews.)
- E. *Preparation of External Reviews.* The faculty member under review shall prepare a list of at least six names of widely recognized authorities in his or her area of research. In addition, the faculty member may submit a list of no more than six authorities he or she wishes to exclude from those being consulted for the review. Independent of the candidate, the appropriate APT committee shall generate a list of at least six names of widely recognized authorities in the area of research. Based on these two lists, the appropriate APT Committee shall construct a list of no fewer than six external reviewers. At least three and no more than half of the names on this list shall appear on the faculty member's list, and the faculty member's wishes on names not to appear on the list shall be respected. The APT Chair is responsible for soliciting letters of recommendation from the selected reviewers. The APT Chair will consult with the APT Committee with regard to the issues such referees should address about the candidate. The APT Chair shall prepare the packet of material (excluding the cover letter) in consultation with the faculty member being reviewed. The APT Chair shall prepare the cover letter in consultation with the Spokesperson of the Committee.

¹¹ This procedure is required by Section IV.A.6. of Campus APT procedures.

(External review is not required on initial appointments, except those carrying tenure, nor on annual reviews.)¹²

- F. *Deliberations and Voting.* The deliberations of the APT Committee are confidential. Any breach in this confidentiality is considered a breach of professional ethics. Decisions regarding a candidate shall only be made at meetings called for this purpose. At least one week's notice shall be given for such meetings. After a vote regarding a candidate, another vote may be taken: (1) at the same meeting, by unanimous consent; or (2) upon request of one-third of the members of the appropriate APT Committee. The APT Chair shall schedule such a meeting and notify all members of the appropriate Committee. The last vote regarding a candidate shall constitute the deciding vote.

- G. *Report of the Committee.* The Committee shall deliver its recommendation (including the vote tally) in writing to the Department Chair at least one week prior to the deadline for submission to the Dean and the College Committee.¹³ The report shall explain the basis for the Committee's recommendation insofar as that basis has been made known in the discussions taking place among the members of the Committee. Dissenting positions may be prepared by any member of the committee and such dissents shall accompany the report through the rest of the APT process. The Department Chair will then prepare his or her recommendation.

- H. *Reconciliation of Decisions by the Department Chair and APT Committee.* If the Department Chair's recommendation regarding reappointment, promotion, or tenure disagrees with the recommendation of the appropriate APT Committee, the Department Chair will then notify the APT Committee of his or her final recommendation.¹⁴

- I. *Report to the Candidate.* In promotion and tenure reviews, the Department Chair, after receiving the Committee's recommendation, shall prepare, for the faculty member being reviewed, a letter announcing the recommendation and vote tally, and summarizing the basis for it.¹⁵ This letter will be reviewed and approved by the Chair

¹² Department procedures must comply with Section IV.A.2. of Campus APT procedures.

¹³ This requirement is elaborated in Section IV.A.7 of the Campus APT procedures.

¹⁴ Procedures governing when decisions are passed from Department to College are specified in Section IV.A.5 of the Campus procedures.

¹⁵ Required by Section IV.D of the Campus APT document.

of the Review Subcommittee. In addition, any member of the Committee requesting to review this letter or the Chair's letter concerning his or her recommendation in the review may do so. The letter will then be presented to the faculty member being reviewed. In this summary and during this discussion, the substance of the confidential letters from any outside referees may be summarized but not attributed.

- J. *Appeal of a Negative APT Decision.* Following a negative departmental decision, there is no right of appeal beyond that specified in Campus and College documents.

- V. *Criteria for Actions.* The qualifications for appointment, tenure, and promotion are the responsibility of each member of the APT committee. Each committee member is responsible for reaching such an evaluation within the criteria established by campus, college, and departmental APT documents.¹⁶ Departmental criteria include the following:
 - A. *Research.* The general criterion used to evaluate research shall be that the faculty member be engaged continually and effectively in creative activities of high quality and significance. The department employs the following dimensions in evaluating a research program: significance, scope, originality, disciplinarity, quantity, continuity, coherence, and progression.¹⁷

 - B. *Teaching.* The general criteria used to evaluate teaching relate to the substance and pedagogical practice of the faculty member's teaching. In the evaluation of teaching, opinions of students and colleagues shall be included. Teaching activities shall include: classroom instruction; curricular innovation and development; construction of instructional texts, manuals, and other materials; advising and mentoring of undergraduate and graduate students; educational activities related to the discipline performed beyond the campus; supervision of student work at the undergraduate and graduate level; and participation in evaluation committees for student work. The department expects evidence of the following dimensions in the teaching portfolio: disciplinarity and contemporaneity of content, rational organization, clear and engaging communication, fair treatment of students, appropriate and rigorous assessment of student work.¹⁸

¹⁶ See Section II of the Campus APT procedures.

¹⁷ The criterion is adapted from Section II.B of the campus APT procedures which also specifies that the department should "develop and disseminate the criteria" that it will use in evaluation.

¹⁸ The criteria are adopted from Section II.A of campus APT procedures that also requires the department to "develop and disseminate the criteria" it will use in evaluation.

- C. *Service.* The general criterion used to evaluate service shall be that the faculty member be continuously and effectively engaged in activities of high quality for the benefit of the university, the discipline, and the wider intellectual and social community. The department employs the following dimensions in evaluating the service record: consistency, quantity, significance, and effectiveness.¹⁹

VI. *Rights and Responsibilities Governing the APT Process.*

A. *Rights and Responsibilities of Faculty Members wishing to be Reviewed.*

1. Responsibility to become familiar with, and maintain knowledge of, the rules and regulations of the University, the Campus, the College, and the Department relating to the process.
2. Responsibility to indicate to the APT Chair the desire to be reviewed. During the year of mandatory tenure review, this is a responsibility to notify the Chair of a wish to waive review.²⁰
3. Responsibility, if an untenured faculty member, to select a mentor in consultation with the Department Chair.²¹
4. Responsibility, in consultation with the APT Chair and other members of the APT Committee, to prepare the Personal Statement and the initial review file in the form required by the University Appointment, Promotion, and Tenure Procedures Manual in effect at the beginning of the academic year in which the review will occur.²²
5. Right to notification of deadlines for submitting and required content in material for review.²³
6. Right to notification at the earliest possible time of changes in the programmatic needs of the unit or the University that might have a bearing on the faculty member's prospects for tenure.²⁴

¹⁹ The general criterion is adapted from Section II.C of the campus APT document.

²⁰ See Section IV.F.4 of the Campus APT procedures.

²¹ Specified in Section IV.A.2 of campus APT document.

²² Specified in Section IV of campus APT document.

²³ University of Maryland APT Policy, Section IV.

7. Right to fair and impartial review without arbitrary or capricious decision.
8. Right to know all faculty participating in the Review committee.
9. Right to have access to, and attach comment or dissent to, all material contained in the review file except for those items declared confidential. Confidential material includes external reviews, evaluative reports of the Committee and the Department Chair, and any other evaluations in which confidentiality has been assured to the evaluator. In the case of confidential information, the faculty member has the right to a summary of the contents without attribution of the contents, and the right to attach comment or dissent to such summaries.
10. Right to speedy notification of actions on their application as quickly as practical after the appropriate date of release of that information to the reviewed faculty member.²⁵

B. *Rights and Responsibilities of Members of the APT Committee.*

1. Responsibility to become familiar with the rules and regulations of the University, the Campus, the College, and the Department relating to the process.
2. Responsibility to prepare thoroughly for the deliberations of the committee and to participate fully.
3. Responsibility to impose the highest standards of quality, to ensure that all candidates receive fair and impartial treatment, and for maintaining the integrity and the confidentiality of the review and recommendation process.²⁶
4. Right to confidentiality in deliberations and in vote on APT matters. Responsibility to respect the confidentiality of other committee members, and all who have been assured confidentiality when the committee requested their judgment.

²⁴ Required by Section IV.A.3 of the campus APT document.

²⁵ Specified in Section IV.D of the campus APT procedures. Additional requirements are provided there.

²⁶ Specified in Section IV of campus APT policy.

5. Right of access to the entirety of review files including all confidential material forwarded to a second level of review.

C. *Rights and Responsibilities of the Department Chair.*

1. Responsibility to provide all new tenure track faculty with these procedures and other policies of the university named herein.²⁷ This includes notifying faculty of deadlines and the material required for review.
2. Responsibility to offer and provide assistance to faculty members wishing to be reviewed in assembling review files.
3. Responsibility to work with the APT Committee and the APT Chair to assemble relevant information for the APT review.
4. Right to confidentiality of the Chair's report (that is, the report directed to the second level review). Responsibility to ensure the confidentiality of members of the review committee and all others to whom confidentiality has been assured.

VII. *Amendment of Procedures.* Changes to this document may be initiated by any member of the Department faculty through submission to the APT Chair. Changes shall be referred to the APT Committee for its review. The Committee shall consider the changes at a meeting held at least a week after submission of the proposed changes to the Committee, but within three months of submission of the proposed changes to the Chair. Upon approval by a majority of the Committee, changes shall be forwarded to the Departmental Assembly for decision at its next meeting. Proposed changes must, however, be circulated to all members of the Departmental Assembly at least one week prior to the vote. Changes shall be passed upon majority vote of the Departmental Assembly. Changes become effective for faculty members who are employed the semester following their approval, and others who agree to be evaluated by these changes.

- Adopted: February 28, 1992
- Amended: December 19, 1992; April 7, 2000; May 6, 2005; October 3, 2008; September 10, 2010

²⁷ Required by Section IV of Campus APT procedures.