

H&SS Promotion and Tenure Handbook

Revised: April 9, 2009

1. Introduction

The *Carnegie Mellon University Faculty Handbook* describes the following four categories of faculty appointment:

- **Tenure Track Appointments**
These faculty appointments are intended to lead to a permanent faculty position with indefinite tenure. The ranks associated with this track are Instructor, Assistant Professor, Associate Professor, and Professor. The rank of *Instructor* is reserved for individuals who are in the process of completing the customary preparation (degree) in the relevant field.
- **Teaching Track Appointments**
These faculty appointments are for individuals who are primarily engaged in educational activities. The ranks are Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor.
- **Research Track Appointments**
These faculty appointments are designed for positions that are primarily supported from sources external to the university. The research track makes provision for individuals that most closely resemble regular faculty positions with respect to responsibility in designing, carrying out and managing research. The research faculty are active participants in the continuing effort to improve departments, programs, centers, colleges, and the university. The ranks are Assistant Research Professor, Associate Research Professor, and Research Professor.
- **Special Faculty Appointments**
These appointments are designed to complement the work of the faculty in either research or teaching on a part-time or full-time basis. These appointments confer faculty status but are not subject to the Appointment and Tenure Policy, the Policy on Research Faculty, or the Policy on Teaching Track Faculty. Furthermore, Special Faculty are covered by the staff benefit policy rather than the faculty benefit policy. Special faculty appointments fall into four categories: A) Post-doctoral fellowships and similar special instructorships; visiting professorships; and positions for visiting professionals; B) Research funded by external contracts, when a research faculty appointment is not appropriate; C) Teaching or research, when the need is temporary; and D) Courtesy appointments of holders of full-time non-academic administrative positions for academic activities in fields in which they are specially qualified.

While faculty holding any of these four types of appointments contribute significantly to the research and educational mission of H&SS and Carnegie Mellon, the H&SS research mission is led primarily by tenure track and research track faculty, while the educational mission is led primarily by tenure track and teaching track faculty. The first three (tenure, teaching, and research tracks) are subject to detailed appointment and promotion schedules and procedures each of which are defined later in this document and in the *Carnegie Mellon University Faculty Handbook*. Special faculty

appointments are conferred by units within the College for various contract periods as the needs dictate and the unit's budget provides. They are subject to yearly review by the H&SS Dean and by the University Committee on Special Faculty Appointments. The rules governing such appointments are given in the *Carnegie Mellon University Faculty Handbook* and are not discussed in this document.

2. The Appointment, Reappointment, and Promotion Process

2.1 General Principles

H&SS conforms to the General Principles stated in the *Carnegie Mellon University Faculty Handbook* (1993-94, p57):

Faculty appointment and tenure decisions are governed by the contributions the candidate has made and is expected to make to the excellence of the university, the advancement of the candidate's academic field, the quality of education and the functioning and welfare of the university community. An affirmative decision on initial appointment, reappointment or promotion, or on the granting of tenure does not guarantee subsequent affirmative decisions. It should be noted that advancement of otherwise qualified candidates may be denied because of budgetary constraints or because their talents and interests do not sufficiently fulfill the needs or promote the goals and priorities of the university.

2.2 H&SS Process Overview

In all cases, on any of the three faculty tracks involving reappointment or promotion or any initial appointment cases at a rank above the level of Assistant Professor, Assistant Teaching Professor, or Assistant Research Professor, a unit-level review committee shall be convened, generally chaired by the head of the candidate's unit. The membership of that committee will follow the governance policy of the unit. In cases in which the unit's potential committee membership is too small, the unit's head, in consultation with the Dean, will augment the committee membership with other Carnegie Mellon faculty members with suitable expertise to evaluate the candidate. The unit-level review committee and unit head, jointly or separately, will make a recommendation concerning each candidate to the H&SS College Reappointment, Promotion and Tenure Committee (hereafter referred to as the "College Committee" in this document).

The College Committee, after consideration of the information presented regarding the candidate and the recommendations of the unit-level committee and unit head, will make a recommendation to the Dean of the College.

The Dean, upon consideration of all information and recommendations available at that point in time, will then make a recommendation for each candidate under consideration and present his or her recommendation to the appropriate University committee. This process then continues to the Provost, the President, and the Board of Trustees for final disposition.

The process within the College of Humanities and Social Sciences for reappointment and promotion is intended to ensure that at each stage the relevant committee is diligent in disclosing all the strong and weak points of each candidate, that each committee's

recommendations are judicious and in conformity with publicly stated criteria, so that candidates are treated equitably.

2.3 Other Stipulations Concerning Appointment and Tenure Policy

When appointments to faculty positions involve individuals from outside CMU, there should be general adherence to the same criteria and procedures established in this document. At the same time, deviations from the evaluation process for individuals who are already at CMU may be necessary due to time constraints concerning outside offers, the different nature of evidence concerning teaching ability, and so forth. Regardless, the candidate's record and other evidence presented should indicate that the prospective faculty member will succeed in the H&SS academic community as a scholar and educator.

After the conclusion of each reappointment or promotion evaluation process, the unit head should provide written feedback to the candidate. This feedback should highlight the candidate's strengths and weaknesses, and it should state the expected timing of the next reappointment or promotion evaluation, if any. This written feedback should provide the basis for interim meetings with the candidate to provide additional feedback concerning the candidate's progress toward the next milestone and his or her progress in overcoming any weaknesses.

The Appointment and Tenure Policy of Carnegie Mellon University, dated April 7, 1997, provides a more detailed discussion of the kinds of appointments that faculty members may hold, the criteria applied in making appointment and tenure decisions, and the University-level procedures involved in the reappointment, promotion, and tenure process (see <http://www.cmu.edu/policies/documents/Tenure.html>)

2.4 Detailed Procedures

Candidate Notification: By the end of the Spring Semester each year, candidates who are expected to be considered for reappointment or promotion decisions the next year are to be given an outline and format for the documentation they must provide (*see the appropriate section for format specifications*), usually by the candidate's unit head within the context of preliminary advice and discussion. The documentation will be due on a fixed date before the start of the Fall Semester to allow for orderly unit and college proceedings. From time to time, decisions on reappointment, promotion and tenure must be made with different deadlines, for example in response to outside offers. In such instances, the college encourages as much flexibility in adjusting schedules as possible, so that a reasonable and prompt recommendation on a candidate's status can be made.

External References: If external references are required, then the unit head will solicit from the candidate a list of potential referees, usually containing 4-6 names. The candidate is also permitted to prepare a list of individuals he or she considers to be inappropriate referees but must provide written reasons for each such name. In addition,

in consultation with appropriate departmental faculty, the unit head should prepare a departmental list of potential external referees. From the combination of these two lists, the referees from outside the university should be nationally recognized experts who are qualified to speak on the specific merits of the candidate's work and who are capable of being objective in their assessment. The referees chosen should hold academic ranks or have sufficient seniority (if not academic) that would qualify them for membership on the unit's evaluation committee.

For cases on all three tracks, there is a target total of eight letters, and the unit head should try to ensure that at least four of the letters are not from the candidate's list of suggested referees. For tenure track and research track faculty, the referees must all be from outside the university. For teaching track faculty, whose review is based primarily on educational contributions made within CMU but also on external contributions, the letters are expected to come from referees both in and outside the university. It is assumed that referees outside the department but within CMU can speak most authoritatively about the educational contributions of the candidate inside the university; and referees outside the university can speak most authoritatively about the candidate's educational activities and contributions beyond CMU. All referees will be asked to submit a letter evaluating the candidate prior to the documentation deadline; the letters are to be sent to the unit head.

More than the number of letters specified in the preceding paragraph may be required to capture the full range of a candidate's professional reputation. External references will be asked to make explicit comparisons with other scholars and/or educators in the candidate's field and to comment on the candidate's qualifications, under CMU criteria, for reappointment or promotion. The head is to make certain that at least some of the letters of reference are gathered from individuals whose expertise is not strictly within a subfield that he or she shares with the candidate. The head will provide a list of all individuals asked for letters of reference, and all letters that are received shall be made part of the unit's deliberations and shall be included with the unit-level recommendation. The names of the references, and the content of their letters, will be confidential information available only to members of the review process. The entire package will be forwarded to the Dean and the College Committee prior to the Fall deadline. External reference letters are not required for reappointments to a second term at the Assistant Professor, Assistant Teaching Professor, or Assistant Research Professor level, or for certain reappointment decisions on the Teaching and Research Tracks as specified later in this document; however, letters can be included at the discretion of the unit head if they would add significantly to the evaluation of the reappointment case.

Internal References: In some cases, supplemental letters from Carnegie Mellon faculty, both inside and outside the candidate's unit(s) may be solicited if those faculty members have information or knowledge about the candidate's achievements that would provide a more complete basis for decision making.

Unit-level Review - Joint Appointments: At the time of the appointment, reappointment and/or promotion the unit head(s) and Dean(s) will normally designate the unit or units primarily responsible for review. Where the primary unit is in H&SS, the unit-level review committee shall hold its review first according to the procedures specified in its Reappointment, Promotion and Tenure proceedings and/or documents, except that the unit head may solicit such input from the unit(s) of secondary appointment as is judged prudent. When the deliberations are concluded, the head of the unit of primary appointment provides the documented case to the unit(s) of secondary appointment. The latter has the option of simply agreeing with the case as it stands and providing a concurring letter, or initially disagreeing. In the latter instance, the unit of secondary appointment is required to process the case through its own procedures or renegotiate the existing joint appointment. In either event, the results are submitted to the College Committee. When there is no primary unit, the appointment is treated as a "special case" (see the following section, "Unit-level Review - Special Cases").

Unit-level Review - Special Cases. When the Dean, the unit head(s) and the candidate all agree that personal or situational factors may constrain the standard review of a candidate, the Dean may see fit to appoint an *Ad Hoc* Review Committee that stands in for and follows the procedures of the unit-level review. In such instances the Dean will appoint a faculty member to act as chair of the *Ad Hoc* Review Committee. When not the unit head, the *Ad Hoc* Committee chair must assume the responsibilities of the unit head that are normally associated with the review procedures for that candidate outlined in this document (see earlier sections under "Procedures" for specific charges). Such responsibilities include the soliciting and acquisition of external references, a written statement summarizing the opinions and recommendations of the *Ad Hoc* Review Committee, and the balloting. Other members of the *Ad Hoc* Review Committee, ranging from three to six faculty members normally of rank above or equal to the rank to which the candidate is being considered for promotion, also will be appointed by the Dean and may include faculty members outside of the candidate's unit(s). The *Ad Hoc* Review Committee will welcome responses from the candidate's unit(s) and consider such data in their evaluation. The recommendation of the *Ad Hoc* Review Committee, when appropriate, shall be forwarded to the candidate's unit(s) and the unit head(s). The relevant unit(s) faculty and unit head(s) shall be invited to comment on and supplement the recommendation to the Dean and the College Reappointment, Promotion and Tenure Committee. These procedures will be agreed upon in writing prior to the initiation of review proceedings by the Dean of H&SS, the unit head(s), and the candidate under review.

Unit-level Review Committee Recommendations. The unit-level committees will review individual candidates' information in depth. In some cases of insufficient data the committee may contact other CMU faculty or solicit additional external evaluations. At the end of the period of study the committee will evaluate the strengths and weaknesses of each candidate and summarize their findings in a memo along with the results of the balloting. The unit head may submit a separate statement and recommendation to the

College Committee. The Dean may also request such a separate statement. The unit head's separate statement should be distributed to the unit-level committee. The unit head's summary should also be made available to the unit-level committee as well as being made a part of the documents of the case as it is submitted to the College Committee.

Treatment of Leaves of Absence

If a faculty member who has taken a leave of absence pursuant to University policy believes that the activities associated with that leave prevented that faculty member from developing his or her research and teaching career (e.g., as may be the case with a family leave, a personal leave or a public service leave), then that faculty member may make a written request to the unit head and/or dean that he, she or they:

(a) in solicitation letters to outside reviewers, state that the usual review clock has been extended because the candidate has taken a leave pursuant to and consistent with University policy and further, that no adverse inference should be drawn against the candidate for having taken a leave; and

(b) in the context of departmental, college/school and/or University reviews, advise participants at the outset of the review at each level that the review clock has been extended because the candidate has taken a leave pursuant to and consistent with University policy. The unit head and/or dean should further advise internal reviewers that the candidate should not be penalized for having taken a leave granted pursuant to University policy. As a result, reviewers should not consider the nature of or reasons for the leave, and the candidate's productivity should be evaluated based upon the period originally established as his/her promotion and/or tenure clock pursuant to University policy and/or college/school policy.

2.5 H&SS Reappointment, Promotion and Tenure Committee Membership

The College Committee shall consist of the following:

1. College Unit Heads;
2. Chair of the H&SS faculty;
3. Associate or Assistant Deans who are also College faculty members (non-voting status unless otherwise designated);
4. A tenured member of the faculty appointed by the Dean to chair the College Committee;

5. The Dean normally sits with the College Committee for the purposes of discussing individual cases and evaluation criteria but will not participate in any voting.

For the purposes of the College Committee, the college unit heads, chair of the H&SS faculty, and the associate or assistant deans who are faculty members may hold appointments in the tenure track, research track, or the teaching track. All voting members are permitted to vote on all cases no matter what rank they hold in any of the three faculty tracks.

The College Committee's Recommendation. The College Committee shall discuss the recommendations of the unit-level committee and unit head and other information presented about each candidate and, in a secret ballot, make recommendations to the Dean for each candidate. These recommendations shall be attached to the candidate's documented information package. The College Committee, through the Chair, has the authority to request additional information, including external letters of reference, as they deem appropriate. These materials will be added to the casebook. The College Committee's recommendations will follow the procedure required of the unit-level committee. All evidence and supporting arguments shall be presented.

The voting process includes the following steps. The unit head or representative presents the case, which is then discussed by the committee. Immediately following the discussion of each candidate a "straw" vote is taken and the results announced. Any additional cases in that unit are reviewed in a like manner. Each unit proceeds in a similar manner until all the cases have been reviewed. The order in which units, and cases within units, appear is determined by the Dean and the College Committee Chair but normally follows the wishes of the unit heads or representatives. At the conclusion of all case deliberations all votes are reviewed and ballots may be repeated if the College Committee chair believes that standards have not been applied consistently. The remaining initial straw votes then become final. These recommendations shall be included in the candidate's casebook. All unit and College deliberations should follow the above voting procedure using secret ballots and the appropriate ballot from among those on pages 24-26. The Committee Chair prepares a memo summarizing the discussion, the votes, and the recommendation made by the Committee.

Dean's Recommendation. After considering the unit's and College Committee's recommendations, and any other evidence gathered or made available, the Dean will make a recommendation to the appropriate University-level Committee.

University Committee and Provost. On the basis of the unit's, College Committee's and Dean's recommendations, and any additional evidence or arguments introduced, the University Committee will, along with the Provost, make a recommendation to the President.

President. The President, after considering the accumulated evidence concerning the case, and upon consideration of the various recommendations, makes a recommendation to the Board of Trustees. The final decision is made by the Board of Trustees acting upon the recommendation of the President.

2.6 Required Casebook Materials

A comprehensive description of each candidate's activities is required for the review for reappointment, promotion, and tenure in the College of Humanities and Social Sciences. In the interests of equity and fairness to individual candidates, review committees should have information presented in a coherent and recognizable form. The candidate for review is responsible for assembling much of this documentation and delivering it to the relevant unit head. The required casebook materials differ somewhat for candidates on the three faculty tracks. The following describes the casebook material for tenure track candidates. The differences in the documentation required for the Teaching and Research tracks are mentioned at the end.

2.6.1 Tenure Track Casebook Materials

The following items should be included in the supporting material. Other appropriate material not mentioned in this list may be included but should be incorporated in a rational manner. It is recognized that special circumstances (e.g., appointments from outside Carnegie Mellon) may make the assembly of some of the items of information listed below unnecessary or infeasible.

2.6.1.1 Materials to be Supplied by the Candidate

Candidate's Curriculum Vitae.

Candidate's Statements. Each candidate must provide a research and a teaching statement. These statements together should be not longer than 8 standard pages in length, and they can be combined into a single statement if the candidate so wishes. The research statement should provide an overview of the candidate's special area of expertise, accomplishments to date and current research plans. The teaching statement should discuss the candidate's approach to teaching at Carnegie Mellon and the accomplishments to date. The teaching statement should cover all educational activities including, for example, special reading courses, undergraduate and graduate advising, and the creation of new curricula and educational materials including software.

Representative teaching materials. Each candidate should produce a representative collection of teaching materials such as syllabi and class materials. The candidate should work with the unit head to determine the amount of material that should be included in the casebook.

Representative Research Contributions. Each candidate should provide three research contributions that represent the most important work by the candidate, with preference for recent work. These may be book chapters, research articles, technical reports, creative work, etc. The candidate should work with the unit head to determine what work is most suitable for inclusion in the casebook. These contributions are included in the casebook for the unit and college reviews but not for the university level review.

2.6.1.2 Materials to be Supplied by the Unit

Recommendations. A memo summarizing the opinions of the members of the unit-level committee evaluating the candidate on the dimensions of research, education and service, as determined at their meetings. The summary should include an assessment of the quality of the candidate's achievements as well as a description and evaluation of the role which the candidate is expected to fill in the unit. The memo will also record the committee's votes on the standard ballot. The unit head will write this summary opinion to represent the overall opinions and range of discussion in the evaluation meetings. The head may include a clearly delineated opinion either in the summary or in a separate memo.

Faculty Course Evaluation and University Course Assessment Results. The unit head should provide the candidate's results on the Carnegie Mellon Faculty Course Evaluation and University Course Assessment instruments.

Additional Information.

Solicited letters of Recommendation from Individuals outside CMU. As described in Section 2.4, letters from outside evaluators are solicited to assess the contributions of the candidate. These letters are not required for candidates for reappointment as Assistant Professors. The casebook should contain a copy of the solicitation letter and a list of all evaluators of whom requests were made. That list should contain a brief descriptive statement about each evaluator and should disclose known potential bias, such as professional or personal relationships, that may be relevant.

Letters from Past and Present Students. Student letters are required in all cases of promotion to Associate Professor, promotion to tenure, and promotion to Professor. A target of at least eight letters are required - four letters from students chosen by the candidate and four letters from students chosen by the unit. The casebook should contain a copy of the solicitation letter.

Other Appropriate Material. Other documents that might have a material impact on the evaluation of the candidate (for example published reviews of the candidate's scholarly work or peer evaluations of the candidate's teaching).

The information outlined above is to be assembled into a casebook and submitted by the unit to the Office of the Dean in time for the College-level review each Fall.

3. Tenure Track Appointments

3.1 Criteria for Appointment, Promotion and Tenure Decisions

3.1.1 Overview

Tenure track appointments, reappointments, promotions, and tenure decisions in the College of Humanities and Social Sciences are governed by the contributions the candidate has made and is expected to make to the excellence of the University, the advancement of the candidate's academic field, the quality of education, and the functioning and welfare of the University community.

The evidence required for appointment and tenure decisions for tenure-track faculty is organized into three categories: (1) Research, Scholarly, or Artistic Activities; (2) Teaching and Other Educational Activities; and (3) Service to the academic unit, college, university, and the profession.

For initial appointment, reappointment, and promotion at all ranks, competence in research and education is required, at a level appropriate to the respective stage of the candidate's career along with an appropriate level of service. For promotion to Associate Professor without tenure, the granting of tenure, or promotion to Professor, the *Carnegie Mellon University Faculty Handbook* specifies that the candidate must be competent in each of the three categories listed above and must, in addition, be outstanding, or show promise to be outstanding, in research or teaching or both. In appointment, reappointment and promotion decisions prior to the granting of tenure, judgments will involve an assessment of the candidate's potential for meeting the criteria for tenure.

In judging a candidate for tenure to be outstanding on the research dimension, both the *Carnegie Mellon University Faculty Handbook* and the College of Humanities and Social Sciences require that the candidate must be clearly in the process of becoming a recognized leader in his or her field; one who has made and will continue to make fundamental contributions in research, scholarly or artistic activities for which he or she is becoming nationally or internationally known and respected. Whereas the *Carnegie Mellon University Faculty Handbook* allows a candidate for promotion or tenure to be outstanding (a vote of "3") either in research or education, the College of Humanities and Social Sciences further requires that the candidate receive an outstanding ("3") in research in order to justify a "3" vote ("certainly should be tenured/promoted") in the overall evaluation on the ballot (see the Tenure Track Ballot on page 24).

In judging a candidate for tenure to be outstanding in teaching and educational activities, the College of Humanities and Social Sciences ordinarily demands that the candidate be outstanding in two ways. First, the candidate must have made or be in the process of making extraordinary educational contributions within Carnegie Mellon University, for example through classroom teaching, student advising, and curriculum development.

Second, the candidate must have or be in the process of achieving a national or international impact on education, for example through the authorship of textbooks, publication of research on pedagogy, or participation in national educational societies or the educational division of an appropriate professional society. Whereas the *Carnegie Mellon University Faculty Handbook* allows a candidate for promotion or tenure to be outstanding ("3") either in research or education, the College of Humanities and Social Sciences further requires that a candidate who receives a "3" vote on teaching and a "2" vote in research can earn no higher than a "2" vote ("probably should be tenured/promoted") in the overall evaluation on the ballot (see the Tenure Track Ballot on page 24).

Candidates for reappointment and promotion decisions may also carry out professional activities that should be considered: e.g., professional practice, consulting, public service, service in professional and technical societies and editorial work on professional journals and other publications. Insofar as such activities either contribute to, or are an extension of, either of the two categories of activities (teaching and research) described earlier in this section, they should be considered when evaluating qualifications under each of these two categories.

It is expected that every faculty member will contribute, by means of his or her expertise and the commitment of reasonable time and effort, to the functioning and welfare of the university community, and of his or her academic unit in particular, through such activities as chairing or serving on committees and councils, providing professional supervision of educational, research and other scholarly university resources, etc. The quality of the contributions in this area of Service, as well as substantial failure to attend to it, forms the basis for judging a candidate's service.

The standard ballot for use by promotion and tenure committees at both the unit and college levels recognizes three categories for evaluation: teaching, research, and service. The results for these three categories are then used to provide an overall evaluation. In the case of reappointment at the Assistant Professor level, only an overall evaluation is made.

3.1.2 Criteria for Specific Reappointment or Promotion Decisions

This section provides a description of the criteria for each of the reappointment or promotion decisions. A candidate should refer to the appropriate unit's Promotion and Tenure document for further information on the criteria. A detailed discussion of the timing for consideration of particular reappointment, promotion and tenure decisions is given in the next section.

Reappointment as Assistant Professor

Assistant Professors are typically considered for reappointment to a second three-year contract in the fall of their third year of service. At this stage, the candidate is expected to demonstrate progress in transforming their doctoral and/or postdoctoral studies into an

independent research agenda with the promise of making a national or international impact on his/her field of specialty. Satisfactory progress at this stage is defined somewhat differently from unit to unit, but all candidates for reappointment must show evidence of diligence and competence in the classroom and demonstrate a clear trajectory toward meeting the criteria for promotion to the rank of Associate Professor without tenure.

Promotion to Associate Professor Without Tenure

A unit typically considers promotion to Associate Professor without tenure during the fall of the candidate's fifth year of service. For a successful promotion the candidate should have a record of accomplishment indicating clearly that, if successful in maintaining his or her career trajectory, he or she will, in due time, be sufficiently well established so as to deserve promotion to a tenured position. In addition to meeting the research and publication requirements of his or her unit, the candidate is expected to demonstrate active engagement in appropriate professional organizations, particularly as presenter of scholarly research; competency in the classroom; and participation in the service responsibilities of the department, college, and university.

Promotion to Associate Professor With Tenure

Consideration for tenure typically takes place in the fall of the eighth year of service. Promotion to the rank of Associate Professor with tenure is granted to a candidate whose record of research, education, and service shows that the leadership and reputation inherent in the attributes of a Professor are in the process of being established. Indeed, the evidence presented should indicate that if the candidate is granted tenure, he or she will earn the rank of Professor in a reasonably short period of time. If a candidate for tenure has all the qualifications required of a Professor, he or she may simultaneously be considered for promotion to Professor.

Promotion to Professor

A candidate for Professor should be very well established in his or her field. The candidate will usually be a recognized leader who has made and will continue making fundamental contributions in research, scholarly, or artistic activities for which he or she is nationally or internationally known. The evidence available should indicate that the candidate is also a skillful and competent teacher and is continuing to provide service to the unit, college, university, and the profession. For the candidate to be judged outstanding in education, the record should exhibit evidence that he or she is an outstanding educator who has made extraordinary contributions to education at Carnegie Mellon **and** who has made contributions at a national or international level, for example through the authoring of textbooks, research on pedagogy, or impactful participation in national educational societies or the educational division of the relevant professional societies.

3.2 Timing of Reappointment, Promotion and Tenure Decisions

Standard timing for reappointment, promotion and tenure decisions in H&SS, for faculty hired as first term assistant professors, is as follows (see the diagram on page 27 giving a visual description of the process):

- Renewal as assistant professor is considered in the fall of the third year for a second three-year term. (Here and throughout the number of years refers to years on the tenure clock as defined in the University Appointment and Tenure Policy.) In the case of an unfavorable review, a one-year terminal contract is provided.
- Promotion to the rank of untenured associate professor is typically considered in the fall of the fifth year, with the sixth year serving as the terminal year in cases of unfavorable action. In cases of favorable action, a five year non-tenured associate professor contract is awarded, preempting the sixth year of the assistant professorial term. In the event of unfavorable action, a one year notice of termination is provided, and the fifth year becomes a terminal year. Delay of consideration for promotion to associate professor without tenure to the fall of the sixth year is possible in some circumstances, requiring the approval of the unit head and the dean. In such circumstances, a four year non-tenured associate professor contract is awarded in cases of favorable action, while a one-year terminal contract is provided in cases of unfavorable action.
- A tenure decision must be made not later than the end of the candidate's ninth year (end of the fourth year of the non-tenured associate professor contract). In H&SS consideration for tenure typically occurs in the fall of the eighth year (one year earlier than the tenure decision deadline). Delay of consideration for tenure to the next-to-last year of an untenured associate professor contract (typically the ninth year of service) is possible, but candidates are advised to consider asking for such a delay only when the additional year is likely to noticeably improve the evidence available (e.g., when a major project is coming to fruition) or where the associate decision itself has been delayed. In cases of unfavorable action, the time remaining on the contract is considered to be a terminal appointment, or an additional one-year terminal appointment is given if no time remains.
- Faculty hired with some number of years of previous service (see the University Appointment and Tenure Policy for the determination of years of previous service) will generally follow the above timetable, with the years of previous service contributing to the total number of years of service as set forth in University policy.

Decisions for reappointment, promotion, and tenure earlier than in the standard timetable are possible, but will depend on clear evidence of unusually strong performance. An exception to this is faculty hired as associate professors without

tenure who normally will be offered a five-year contract but will not be regarded as "early" cases if their achievements warrant tenure consideration in the fall of the third year of this contract even if the sum of their years of previous service and current Carnegie Mellon service would indicate that such a consideration is early. "Early" cases require documentation that the case should be considered earlier than would be normal.

4. Teaching Track Faculty

4.1 Criteria for Appointment and Promotion Decisions

The Teaching Track is established for positions designed to focus on the University's educational mission, in accordance with University policy on Teaching Track appointments. Teaching Professors are expected to fulfill two criteria: (1) to be outstanding educators within Carnegie Mellon, for example through classroom teaching, curriculum development, program leadership, and student advising and mentoring, and (2) to become nationally or internationally known for contributions to education or to research. The second criterion can be fulfilled in many different ways; however, it is often fulfilled through the publication of textbooks or other curricular material leading to a national reputation or highly recognized involvement in educational societies or the education division of a professional society. Some Teaching Professors will publish research or research monographs. While both of the criteria described above are important, more weight will be applied to the first category in the sense that on the H&SS Teaching Track ballot (see page 25), a vote of two on the education within Carnegie Mellon dimension ought to lead to a vote no higher than two on the overall dimension.

Teaching Track faculty who have not yet reached the Teaching Professor rank are expected to clearly demonstrate the promise that they will, in due course, fulfill these criteria.

For initial appointment, reappointment, and promotion at all ranks, competence in teaching, education and other related scholarly, creative, or professional activity is required, at a level appropriate to the respective stage of the candidate's career. For the granting of promotion to Teaching Professor, the candidate must fully meet both criteria above.

Candidates for reappointment and promotion decisions may also carry out professional activities that should be considered: e.g., professional practice, consulting, public service, service in professional and technical societies and editorial work on professional journals and other publications. Insofar as such activities either contribute to, or are an extension of, either of the two categories of activities (educational contributions within CMU and other research, scholarly, creative or educational) described earlier in this section, they should be considered when evaluating qualifications under each of these two categories.

It is expected that every faculty member will contribute, by means of his or her expertise and the commitment of reasonable time and effort, to the functioning and welfare of the university community, and of his or her academic unit in particular, through such activities as chairing or serving on committees and councils, providing professional supervision of educational, research and other scholarly university resources, etc. The quality of the contributions in this area of Service, as well as substantial failure to attend to it, forms the basis for judging a candidate's service.

Assistant Teaching Professor: This is a three year appointment, renewable for a second three year appointment. No more than two three-year terms as Assistant Teaching Professor are permitted. An Assistant Teaching Professor typically delivers courses that already exist or prepares new courses under the supervision of senior teaching track or tenure-track faculty. Precise duties are outlined by course supervisors or the unit Head in charge of the curriculum. An Assistant Teaching Professor will ordinarily serve five or six years in that rank before being promoted to Associate Teaching Professor, and that consideration must occur by the sixth year with a subsequent one year terminal appointment available if promotion is not granted.

Associate Teaching Professor: This is a renewable appointment, with a three year initial appointment and five year terms for subsequent reappointments. Initial appointment as, or promotion to, Associate Teaching Professor requires an appropriate advanced degree plus achievements in teaching and other scholarly activities that clearly demonstrate that the candidate will, in due course, merit promotion to Teaching Professor. A one year terminal appointment is provided in the event that the promotion or reappointment is not granted.

Teaching Professor: This is a renewable appointment, with a five year initial appointment and five year terms for subsequent reappointments. Promotion to the Teaching Professor rank requires clear evidence that the candidate has fulfilled the two criteria described earlier and has provided the level of service expected of Teaching Track faculty members. A Teaching Professor's re-appointment must be formally considered every five years, with a one year terminal appointment provided in case the appointment expires or reappointment is not granted.

Right of Review

All teaching track faculty have the right to be considered for reappointment or promotion, as appropriate, on the teaching track in the final year of their non-terminal-appointment contract. This right of review, however, is not absolute, and otherwise qualified candidates may be denied a review because of budgetary constraints or because their talents and interests do not sufficiently fulfill the needs or promote the goals and priorities of the university as adjudged by the unit head with the concurrence of the dean.

4.2 Teaching Track Casebook Materials

Reappointment and promotion decisions for Teaching Track faculty will be based primarily on a casebook similar to that described in Section 2.6.1 containing two types of materials: (!) a teaching portfolio documenting the educational contributions of the candidate to Carnegie Mellon University along with an evaluation of those contributions, and (2) documentation of the candidate's other contributions to research, scholarly, creative, and educational activities that add to the candidate's prominence at a national or international level.

4.2.1 Contributions to Education at Carnegie Mellon

The teaching portfolio should typically contain:

- A statement that describes the candidate's contributions to date and goals for the next appointment period. This statement should address educational goals and contributions to education at Carnegie Mellon. It may be combined with the second required statement describing contribution to research or other educational activities that extend beyond Carnegie Mellon (see Section 4.2.2 below). These statements together should not exceed 8 pages.
- Selected syllabi and educational materials used in courses taught
- Summary of curriculum development
- Lists of student advisees and mentees
- Lists of undergraduate and graduate student project supervision

The evaluation of the candidate's effectiveness in education at Carnegie Mellon will generally consist of:

- Faculty Course Evaluation and University Course Assessment results
- Letters of evaluation solicited from students the gathering of which is coordinated by the unit's head
- When available, results of direct in-class observation
- When feasible, an objective measure of learning gain.

For promotions to Associate Teaching Professor or Teaching Professor and for reappointment to a second term as Associate Teaching Professor, evaluation letters from both outside the unit but within Carnegie Mellon and outside Carnegie Mellon are required as described in Section 2.4. For candidates already holding a five-year contract as Associate Teaching Professor or Teaching Professor, the evaluation letters from outside the unit, both inside and outside Carnegie Mellon, are required only for every other reappointment decision, that is, every ten years. Every review, whether outside letters are required or not, should provide a comprehensive evaluation of the candidate's performance over the review period to ensure that the candidate continues to fulfill the expectations associated with his or her current rank. Even though not required, either the candidate or the unit head may request that some outside letters be gathered to provide a full evaluation. The process by which any outside letters are acquired should follow the process described for tenure track evaluation that require outside letters.

4.2.2 Other Educational or Scholarly Contributions

The candidate is expected to prepare a second statement outlining his or her contributions in the areas of research, scholarly, or creative production along with other educational activities that gain visibility beyond Carnegie Mellon University. Where appropriate, these contributions are typically evaluated by objective outside referees.

The casebook may contain additional material designed to provide a complete record of the candidate's relevant contributions.

4.3 Teaching Track Reappointment and Promotion Process

Reappointment and promotion reviews follow those conducted for tenure track faculty. The candidate is first evaluated by the appropriate unit. The results of that evaluation are summarized in a memo and are forwarded to the College Committee. The College Committee considers the case along with other cases on all three faculty tracks. Both the unit and the college committees will use the ballot presented on page 25. The results of the deliberations and votes are transmitted to the Dean who adds his or her recommendation. The case is then forwarded to the relevant University Committee on Promotion and Tenure for consideration. The results of that committee are presented to the Provost and President for final recommendation to the Carnegie Mellon Board of Trustees.

5. Research Track Appointments

5.1 Overview

The *Carnegie Mellon University Faculty Handbook* describes Research Track appointments as those "that are fully supported from sources external to the university ... that most closely resemble faculty positions in regard to the responsibility in designing, carrying out and managing research -including service as a principal investigator when appropriate, - quality of publications, supervision of research students, recognition inside and outside of the university, professional activities and active participation in the continuing effort to improve departments, colleges, and the university."

In reviewing the criteria for evaluating candidates for reappointment or promotion on the Research Track, the *Carnegie Mellon University Faculty Handbook* cites three dimensions of judgment: (1) Excellence in Research, Scholarly or Artistic Activities, (2) Competence in Teaching and Educational Activities, and (3) Contribution of Service to the campus, for example through service on committees and participation in campus activities.

The guidelines for H&SS follow closely the descriptions given above. The only difference is that H&SS Research Track faculty may not be fully supported from sources external to the university but, instead, may have formal departmental duties often also carried out by Tenure Track faculty, for example educational activities including classroom teaching, undergraduate and graduate student advising, and research seminar leadership that is more substantial than is usual for Research Track faculty at Carnegie Mellon.

5.2 Criteria for Appointment and Promotion Decisions

The appointment process for H&SS Research Track faculty follows the guidelines set out in the *Carnegie Mellon University Faculty Handbook*, which are highlighted in this section. All appointments at all levels on the Research Track are for one year with the requirement of a one-year termination notice. At certain stages in the Research Track (defined below), a reappointment decision is made based on a formal evaluation. A promotion from Assistant Research Professor to Associate Research Professor or from Associate Research Professor to Research Professor always requires a formal evaluation.

In reappointment situations that do not require a formal evaluation other than at the end of a terminal appointment, the decision to not reappoint may be made only for reasons of unavailability of a sufficient level of funding from the research program or the departmental duties under which the appointment was made or from an appropriate substitute program or set of departmental duties. In reappointment or promotion situations in which a sufficient level of continuing research funding or agreed upon departmental duties continue to be available, candidates have the right to be evaluated. **If**

the results of an evaluation are negative, the candidate is entitled to a one-year terminal contract. This right of review; however, is not absolute, and otherwise qualified candidates may be denied a review because of budgetary constraints or because their talents and interests do not sufficiently fulfill the needs or promote the goals and priorities of the university as adjudged by the unit head with the concurrence of the dean.

Assistant Research Professor: This is a renewable appointment that can be held for no more than six years (with one additional terminal year if required). An evaluation is required if a reappointment would result in the candidate's term being extended beyond three years from the original date of appointment in the rank. In H&SS, an Assistant Research Professor would ordinarily be considered for promotion to Associate Research Professor in the fall of the sixth year in the rank. An affirmative decision to promotion to Associate Research Professor should be made only if the candidate is in the process of becoming outstanding in research and is competent in both education (if applicable) and service.

Associate Research Professor: This is a renewable appointment that can be held indefinitely. Individuals in this rank are evaluated after three years, and then every six years thereafter. An affirmative decision at the three year evaluation time point requires that the individual be outstanding in research and competent in education (if applicable) and service. In judging a candidate to be outstanding on the research dimension, the candidate must be clearly in the process of becoming a recognized leader in his or her field; one who has made and will continue to make fundamental contributions in research, scholarly or artistic activities for which he or she is becoming nationally or internationally known and respected

Research Professor: This is a renewable appointment, with a six year initial appointment and six year terms for subsequent reappointments. Promotion to the Research Professor rank requires clear evidence that the candidate is recognized as a leader in his or her field; one who has made and will continue to make fundamental contributions in research, scholarly or artistic activities and is nationally or internationally known and respected. In addition, the candidate must be competent in education (if applicable) and in service.

5.3 Research Track Casebook Materials

The Research Track casebook materials are identical to those described in Section 2.6.1 for Tenure Track faculty; however, the educational materials are customized to evaluate the relevant educational contributions of the candidate. In some cases, those contributions may be limited to those described in the *Carnegie Mellon University Faculty Handbook*: "Typically this will be accomplished by supervising graduate and post-doctoral research, development of educational programs and educational publications." In some cases in H&SS, Research Track faculty might not have any teaching responsibilities. Letters from outside referees are required for all promotions, for the first reappointment at the Associate Research Professor rank, and every other

evaluation for candidates at the Associate Research Professor or Research Professor ranks on a six year evaluation schedule, i.e. every twelve years.

5.4 Research Track Reappointment and Promotion Process

Reappointment and promotion reviews follow those conducted for tenure track faculty. The candidate is first evaluated by the appropriate unit. The results of that evaluation are summarized in a memo and are forwarded to the College Committee. The College Committee considers the case along with other cases on all three faculty tracks. Both the unit and the college committees will use the ballot presented on page 26. The results of the deliberations and votes are transmitted to the H&SS Dean who adds his or her recommendation. The case is then forwarded to the relevant University Committee on Promotion and Tenure for consideration. The results of that committee are presented to the Provost and President for final recommendation to the Carnegie Mellon Board of Trustees.

TENURE TRACK BALLOT

Name:
Unit:
Current Status:
Proposed Status:

Voting on Three Dimensions of Judgment

Research, Scholarly, and Artistic Activities

Check One

- _____ 1. Below minimum competence
- _____ 2. At or above minimum competence but not outstanding
- _____ 3. Outstanding

Teaching and Educational Activities

Check One

- _____ 1. Below minimum competence
- _____ 2. At or above minimum competence but not excellent
- _____ 2.5 Excellent but not outstanding (exceptional record of educational contributions within Carnegie Mellon *or* has a national reputation as an educator)
- _____ 3. Outstanding (exceptional record of educational contributions within Carnegie Mellon *and* has a national reputation as an educator)

Service to Unit, College, University, and the Profession

Check One

- _____ 1. Below the level expected of tenure track faculty
- _____ 2. At or above the level expected of tenure track faculty

Overall Evaluation and Voting

To be consistent, your overall vote should normally follow these guidelines: (i) if a "one" is voted above on any of the above dimensions; or if neither the research nor the education categories receives a "three," then either a "zero" or a "one" should be voted below; (ii) a "three" ought not be voted below unless a "three" is voted on the Research dimension. Check One

- _____ 0. Certainly should not (be reappointed, promoted or given tenure as appropriate)
- _____ 1. Probably should not (be reappointed, promoted or given tenure as appropriate)
- _____ 2. Probably should (be reappointed, promoted or given tenure as appropriate)
- _____ 3. Certainly should (be reappointed, promoted or given tenure as appropriate)

For reappointments at the assistant professor level vote *only* on the "Overall" category

TEACHING TRACK BALLOT

Name:
Unit:
Current Status:
Proposed Status:

Voting on Three Dimensions of Judgment

Educational Contributions within Carnegie Mellon University (e.g. Classroom Teaching, Curriculum Development, Advising, and other CMU Educational Activities)

Check One

- _____ 1. Below minimum competence
- _____ 2. At or above minimum competence but not outstanding
- _____ 3. Outstanding

Other Research, Scholarly, Creative, and Educational Activities Relevant to Establishing a Reputation at the National or International Level

Check One

- _____ 1. Below minimum competence
- _____ 2. At or above minimum competence but not outstanding
- _____ 3. Outstanding

Service to Unit, College, University, and the Profession

Check One

- _____ 1. Below the level expected of teaching track faculty
- _____ 2. At or above the level expected of teaching track faculty

Overall Evaluation and Voting

To be consistent, your overall vote should normally follow these guidelines: (i) if a "one" is voted above on any of the above dimensions, then either a "zero" or a "one" should be voted below; (ii) a "three" ought not be voted below unless a "three" is voted on the "Educational Contributions within Carnegie Mellon" category.

Check One

- _____ 0. Certainly should not (be reappointed or promoted as appropriate)
- _____ 1. Probably should not (be reappointed or promoted as appropriate)
- _____ 2. Probably should (be reappointed or promoted as appropriate)
- _____ 3. Certainly should (be reappointed or promoted as appropriate)

For reappointments at the Assistant Teaching Prof. level, vote *only* on the "Overall" category

RESEARCH TRACK BALLOT

Name:
Unit:
Current Status:
Proposed Status:

Voting on Three Dimensions of Judgment

Research and Other Scholarly Activities

Check One

- _____ 1. Below minimum competence
- _____ 2. At or above minimum competence but not outstanding
- _____ 3. Outstanding (with a national reputation for research)

Educational Activities (If Applicable)

Check One

- _____ 1. Below minimum competence
- _____ 2. At or above minimum competence but not excellent
- _____ 2.5 Excellent but not outstanding (exceptional record of educational contributions within Carnegie Mellon *or* has a national reputation as an educator)
- _____ 3. Outstanding (exceptional record of educational contributions within Carnegie Mellon *and* has a national reputation as an educator)

Service to Unit, College, University, and the Profession

Check One

- _____ 1. Below the level expected of research track faculty
- _____ 2. At or above the level expected of research track faculty

Overall Evaluation and Voting

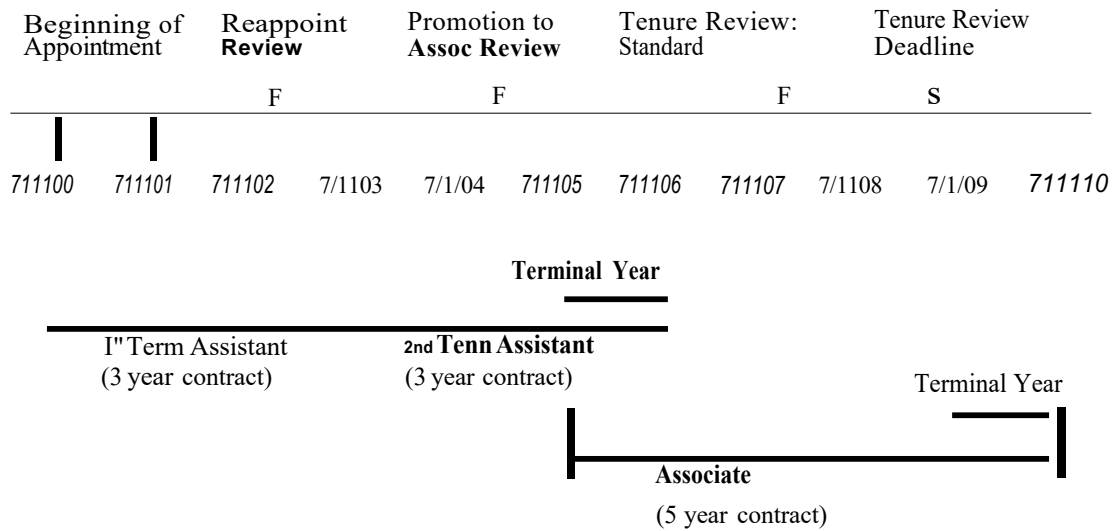
To be consistent, your overall vote should normally follow these guidelines: (i) if a "one" is voted above on any of the above dimensions, then either a "zero" or a "one" should be voted below; (ii) a "three" ought not be voted below unless a "three" is voted on the Research dimension.

Check One

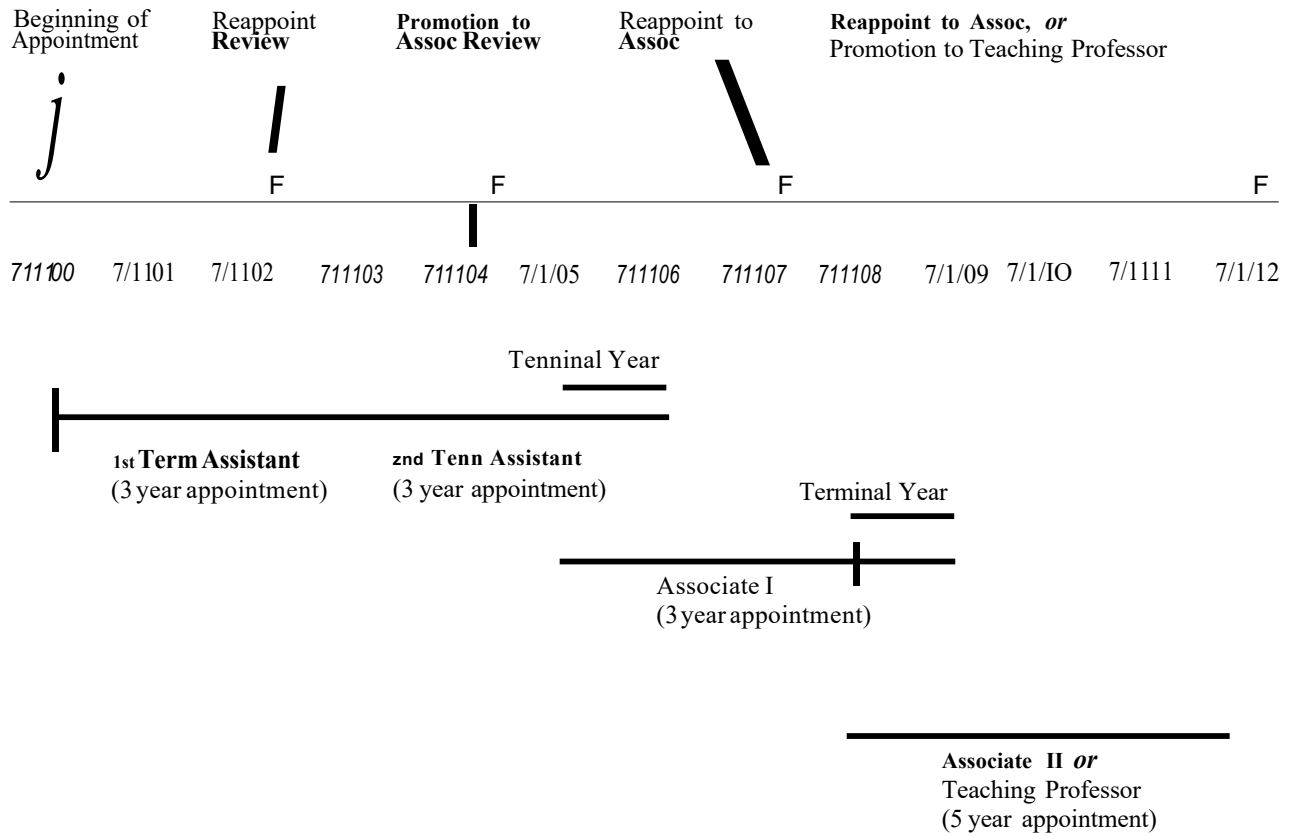
- _____ 0. Certainly should not (be reappointed or promoted as appropriate)
- _____ 1. Probably should not (be reappointed or promoted as appropriate)
- _____ 2. Probably should (be reappointed or promoted as appropriate)
- _____ 3. Certainly should (be reappointed or promoted as appropriate)

For reappointments at the Assistant Research Prof. level, vote *only* on the "Overall" category

H&SS Standard Time Line for Promotion and Tenure



H&SS Standard Time Line for Teaching Track Appointments



H&SS Standard Time Line for Research Track Appointments

