

FACULTY REAPPOINTMENT, PROMOTION AND TENURE (RPT) CRITERIA AND PROCEDURES

COLLEGE OF ENGINEERING CARNEGIE MELLON UNIVERSITY

Revisions Approved by University Committees December 7, 2017

1. INTRODUCTION

Reappointment, Promotion and Tenure (RPT) of faculty in the College of Engineering (aka CIT) is governed by the extent and impact of the contributions the faculty member has made and has the potential to make to the relevant profession and to the University. In this document “faculty” refers to CIT faculty with tenure-track, research-track or teaching-track appointments. The procedures for CIT special faculty evaluation are described in a separate document. The evaluation of a faculty member’s contributions necessitates the collection of information and the preparation of documents by which the faculty member’s past performance and future potential can be assessed. This document describes faculty reappointment, promotion and tenure (for tenure-track faculty) criteria and procedures. Sections 2-5 describe the criteria and procedures for tenure-track faculty evaluation, Section 6 describes the procedures for research faculty evaluation and Section 7 discusses teaching-track faculty evaluation.

All involved should recognize that the final RPT decision made is based on both quantitative and qualitative information through a sound process. Reappointment at each level and promotion to the next level is an indication to the faculty member that the senior faculty and administration feel that the faculty member’s overall progress to this point has been acceptable as defined in the criteria below. Each reappointment or promotion, however, does not guarantee future reappointment or promotion. In addition, consideration must be given to budgetary considerations and the extent to which the talents, interests and professional objectives of the faculty member do not fulfill the needs or promote the goals and priorities of the University.

In general, “senior faculty” in this document refers to Full tenure-track Professors in that department. However, in some special circumstances (e.g., when a department has no tenured Full Professors), the Dean, in consultation with the Department Head, can designate tenured Full professors from other departments as senior faculty members for the RPT process.

2. CRITERIA FOR TENURE-TRACK FACULTY

To be reappointed or promoted, the faculty member must document their contributions to the University and their profession. These contributions are organized under two headings: teaching and educational activities, and research. For promotion to tenure, each faculty member is expected to be outstanding, or to show promise of becoming outstanding, in at least one of those two, and to be at least competent in the other category. A measure of outstanding performance requires demonstration of a high level of capability in contributing to, disseminating, or applying new knowledge, in a manner clearly recognizable by his or her peers. All faculty members for promotion at all levels below Full Professor are expected to be at least competent in both categories, and show promise of meeting the criteria for promotion to Full Professor in due course.

2.1 Teaching and Educational Activities: Teaching is a principal function of the faculty. One measure of teaching effectiveness is the faculty course evaluation. Other measures include comments by students and graduates who have been in the faculty member’s courses. Graduate student guidance, course material, exams, projects, etc. can be evidence of teaching effectiveness and contributions. Educational activities include new curricula or courses, educational publications, textbooks, development of new degree and training programs, educational materials for internet-based dissemination, technology-enhanced education and technical popularization.

2.2 Research: Engineering research includes all activities which lead to new knowledge about, and new approaches to solving engineering problems. Measures of excellence in this area include the quality, volume, and impact of publications, including conference and journal papers, monographs, books, research reports, research-oriented web sites; field-specific publication metrics; evaluation of research by others; patents; prizes and awards for research; solicited and invited lectures; the amount of financial support; contribution to inter-disciplinary research teams; and the contribution of the faculty member’s work towards the needs of society.

2.3 Service and other Considerations: Faculty members are also expected to carry on professional activities that should be considered for reappointment, promotion and tenure: e.g., professional practice, consulting and entrepreneurial activities, public service, service in technical and professional societies and associations, and editorial work on professional journals. Insofar as such activities either contribute to or are an extension of teaching and educational activities, or research, they should be considered as they are applicable under those two categories.

In addition, it is expected that each faculty member will contribute to the functioning of the campus community by serving on committees, participating in campus activities, undertaking a fair share of assignments in his or her department, etc. Quality of contribution in this area (as well as substantial failure to attend to it) is also considered for reappointment, promotion and tenure, in addition to the two main categories of activities described above. Furthermore, as described in the Appointment and Tenure Policy (<https://www.cmu.edu/policies/faculty/appointment-and-tenure-policy.html>) of Carnegie Mellon University, “by accepting membership in the university, an individual joins a community committed to free inquiry, intellectual honesty and respect for the dignity of others.” Faculty candidates will be expected to be good citizens of the University who exemplify the standards of faculty conduct set forth in the Appointment and Tenure Policy, and abide by all University policies.

2.4 Distinction between Promotions to Associate Professor and Full Professor: A faculty member under consideration for an initial appointment at the rank of Full Professor (if from outside CMU) or promotion to Full Professor should be very well established in their field. The faculty member will usually be a recognized leader who has made outstanding contributions in research, or teaching and educational activities and has a national and possibly an international reputation. The evidence available should indicate that the faculty member is an effective teacher. Typically, a faculty member being evaluated for Full Professor would have served as advisor to one or more graduated doctoral students.

Tenure is granted to a faculty member whose record shows that the leadership and reputation, inherent in the attributes of a Full Professor, are already established or are being established. Indeed, all evidence presented should support the expectation that if the faculty member is granted tenure, that faculty member will reach the Full Professorship in a reasonably short period of time. If a faculty member for tenure has all the qualifications of a Full Professor, they will be considered simultaneously for promotion to Full Professor.

A faculty member for an initial appointment at, or promotion to, Associate Professor should have a record of accomplishment indicating clearly that that faculty member is a potential leader who in due time will be sufficiently well established to deserve promotion to Full Professor.

3. PROCEDURES

The process of making RPT decisions is summarized in the Procedures Flow Diagram. For tenure-track faculty the process is summarized as:

Based on an academic year “start date” the standard tenure-track review process is:

Action	Timing
Reappointment to Assistant Professor	Start date + 3 years (package submitted at start date + 2 years; Fall submission)
Promotion to Associate Professor	Date of reappointment to Assistant Professor + 2 years (package submitted at date of Assistant Professor reappointment + 1 year; Fall submission)
Interim Review	Date of promotion to Associate Professor + 1 year (package submitted at date of promotion to Associate Professor + ½ year; Spring submission)
Tenure Decision and Promotion to Full Professor	Date of promotion to Associate Professor + 4 years (package submitted at date of promotion to Associate Professor + 3 years; Fall submission)
Senior Faculty Review	Date of promotion to Full Professor with tenure + every 7 years; Spring submission (repeats)

The process is summarized for Research- and Teaching-tracks in Sections 6 and 7, respectively.

The usual timing of reappointment, interim review, promotion and tenure decisions is indicated in the attached Tenure and Promotion Time Chart. Criteria for early tenure and promotion decisions are outlined below. The Appointment and Tenure Policy of the University, as described in the Faculty Handbook (<http://www.cmu.edu/policies/documents/Tenure.html>), may be consulted for additional rules and regulations.

Every department must annually review the performance of each junior faculty member (i.e., faculty at a level lower than full Professor or equivalent) and should share feedback regarding performance with the faculty member. In addition, at an annual meeting of the senior faculty of that department, the Department Head should review the status of all junior faculty, with particular attention to any junior faculty who are to be considered for tenure and/or promotion decisions. For the purposes of review of junior faculty, the Department Head should seek input from faculty members who are familiar, or who have been asked to familiarize themselves, with the work of individual junior faculty members. These meetings, to review RPT cases that will be evaluated in the Fall semester, typically take place in early May of each year. If needed, departmental review of any Spring-semester RPT cases typically take place in early Spring. When one of these reviews indicates that there is substantial probability that an individual will not eventually obtain the next reappointment or promotion, the Department Head will convey his or her recommendation to the individual. The faculty member has a right to request that their case be put up for evaluation even when the departmental evaluation is negative.

In the event that a junior tenure-track faculty member is to be considered for an early tenure and/or promotion decision, all procedures for timely decisions will apply. In addition, the case should be very strong, i.e., it must unambiguously and significantly exceed all of the criteria for tenure and/or promotion. Early decision cases are normally initiated by agreement between the faculty member and Department Head. At the meeting of the Department Head and senior faculty to review junior faculty status, agreement should be reached in principle to submit the case for an early decision before external letters of reference are solicited. This decision should be reported to the Dean.

Exclusions from current service ("stopping the tenure clock") are governed by the relevant university policies and may be granted for medical, family or public service reasons. For example, maternity or paternity leave will normally occasion a one-year exclusion.

3.1 Package Preparation: By early June of each year, faculty members who are to be considered for RPT decisions during the next academic year are to be given an outline and format for the documentation mentioned above. The documentation will be due to CIT on a specified date in late August or early September for Fall cases and early February for Spring cases. Internal departmental deadlines for this documentation may be earlier and the faculty member should be alerted to such earlier deadlines. If the faculty member decides after submitting the documentation to the Dean's Office to withdraw their RPT application, this information will be conveyed to the Provost.

In all cases involving promotion to the level of Associate Professor and higher or for a position with indefinite tenure, ten external letters of recommendation should be obtained, which will usually require solicitation of 12 letters. The CIT template for the solicitation letter should be used; modified versions must be approved by the Associate Dean for Graduate and Faculty Affairs (ADGFA). Compilation of the list of external references from whom letters are to be solicited is to be a collaborative effort involving the faculty member, the Department Head and the senior faculty. Typically, the faculty member shall suggest eight references from which six will be selected by the Department Head, in consultation with the senior faculty. The Department Head, in consultation with senior faculty, will come up with at least six other references. The combined list, clearly indicating the faculty member's suggestions and the departmental suggestions, will be retained in the department's files and submitted for review and approval to the ADGFA along with the draft solicitation letter. If necessary, the ADGFA may approve the solicitation of additional external letters. The faculty member's RPT package and/or curriculum vitae, including their list of publications, should be attached to the letter soliciting external letters of recommendation. If appropriate, up to five important publications by the faculty member can be attached to the letter of solicitation. Each reference will be asked to supply a letter concerning the faculty member prior to the documentation deadline; the letters are to be sent to the Department Head. If after the letters are received, the senior faculty is unanimous (either in favor of, or against, recommending reappointment, promotion or tenure) no further letters should be solicited by the department. Otherwise, further letters may be solicited with approval of the ADGFA. All letters that are received shall be attached by the Department Head to the documentation supplied by the faculty member.

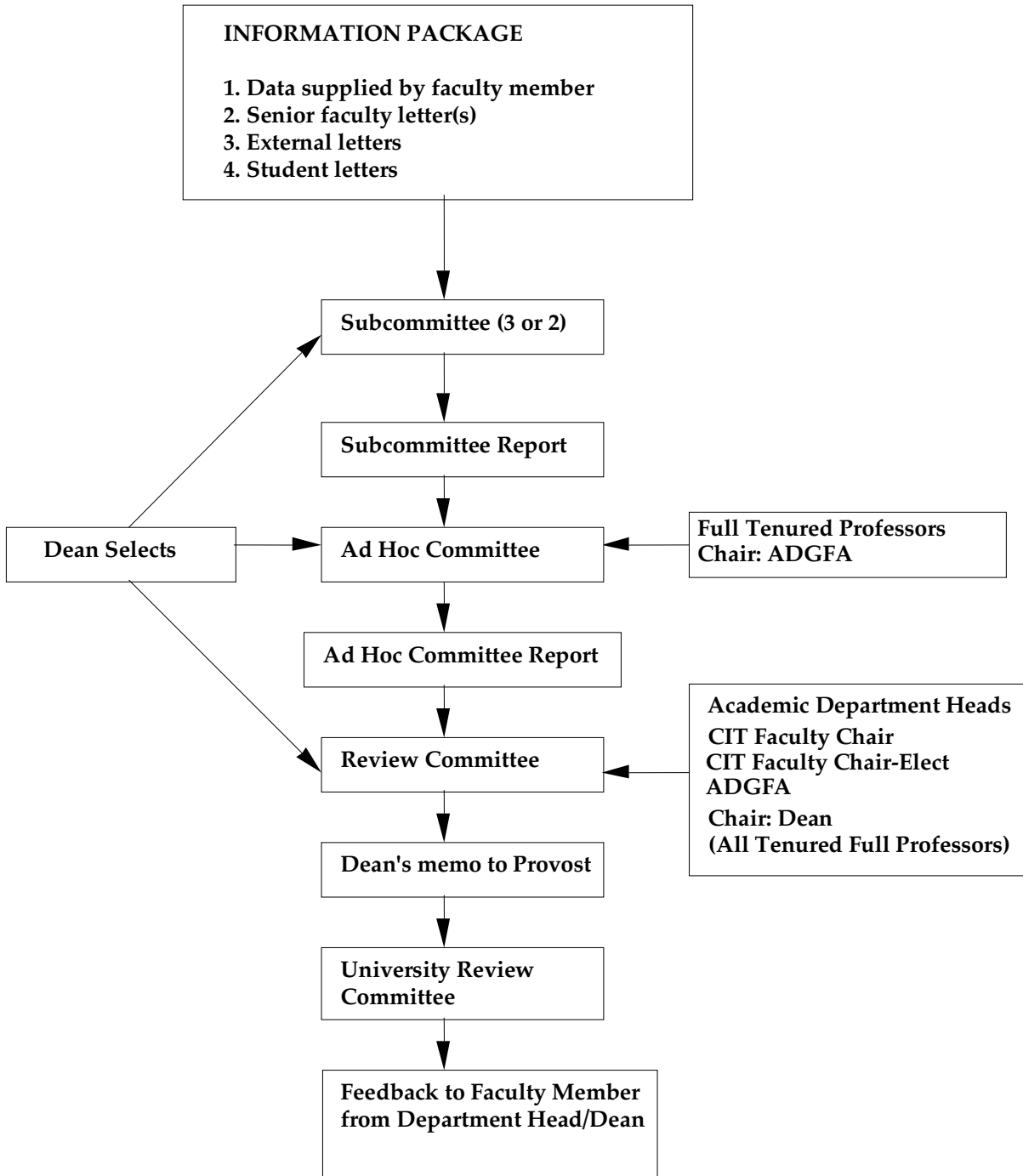
Faculty members considered for reappointment at the Assistant Professor level or being considered for promotion should be supported by letters from students and graduates who have taken courses or worked on projects or theses under the faculty member's supervision. Letters must be requested from all (current as well as former up to 10 years since graduation) Ph.D. advisees of the faculty candidate. In addition, 10 letters of reference from current or recently graduated students shall be selected by the Department Head via a random selection process applied to courses taught by the candidate in the three years preceding the submittal of the promotion case (with the goal of obtaining at least 6 letters). Selection will be proportionate across all classes, both undergraduate and graduate, taught by the faculty member. Additionally, 2 letters may be solicited by the Department Head based on undergraduate or masters students with whom the candidate has worked closely. All letters that are received shall be attached by the Department Head to the documentation supplied by the faculty member.

For CIT faculty members in the Associate Professor and Associate Research Professor positions, a college-level interim review will be conducted by the Review Committee towards the start of their second year in that position (for their first appointment only for Associate Research Professors), usually in the Spring semester of their first year at Associate Professor level. The purpose of this evaluation is to provide feedback and guidance to these candidates as they prepare for their next RPT evaluation, usually for promotion to Full Professor with tenure or Full Research Professor, respectively. For these intermediate evaluations, no external reference letters will be required. However, an RPT package with all other components (including the department letter, and letters from undergraduate, Master's and Ph.D. students) must be submitted to the Dean's Office by a specified date in February. Based on the Review Committee discussion, a feedback memo to the candidate will be prepared by the Department Head and given to the candidate. This intermediate review of Associate Professors and Associate Research Professors will not involve the CIT Ad Hoc Committee nor will such cases be sent up to University Committees.

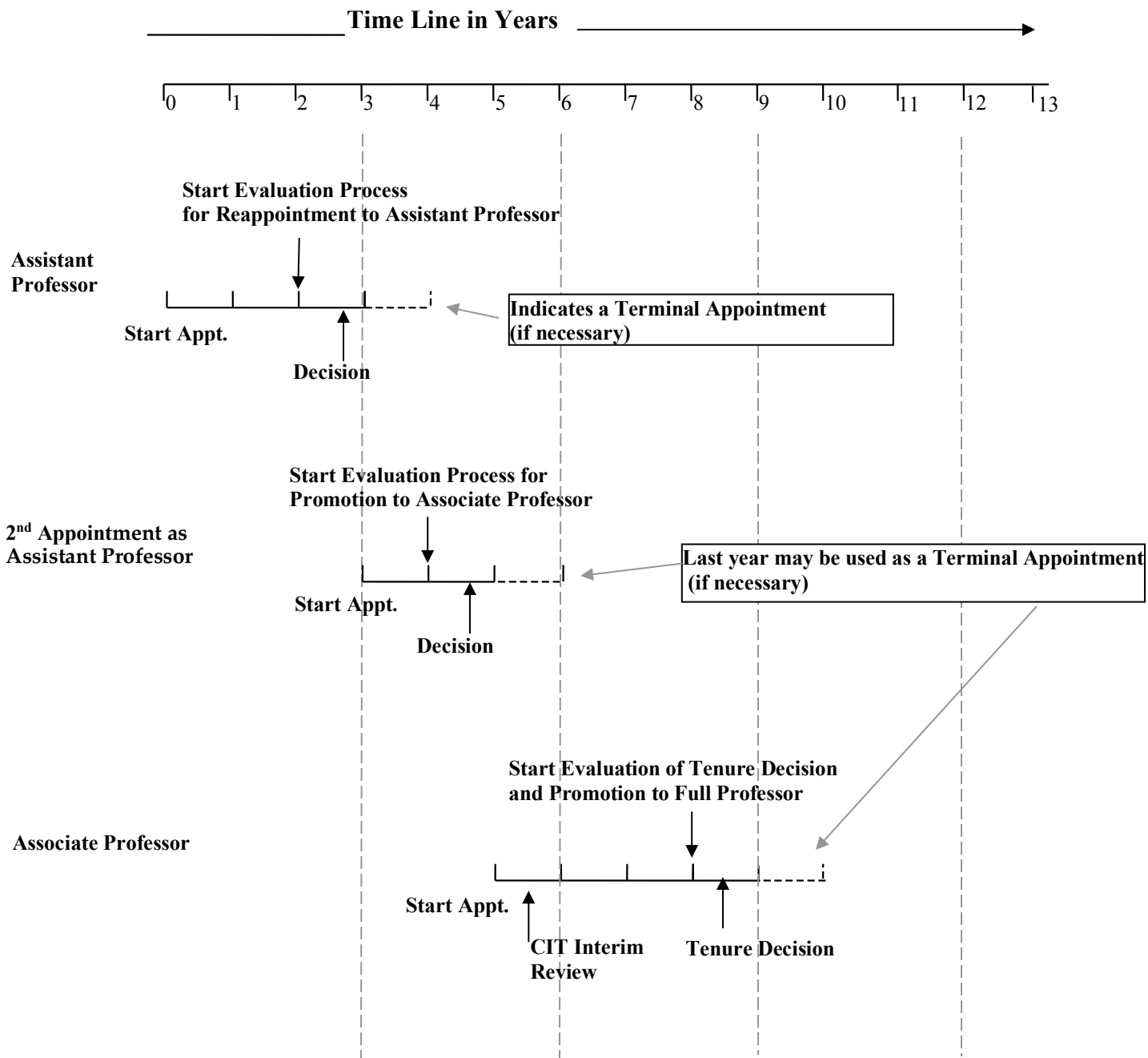
A summary of the letters required (and requested) with package for Tenure-Track are as follows:

Type of Letter	Who submits names	Reappointment as Assistant	Promotion to Associate	Interim Review	Promotion to Professor
External letters	Candidate	<i>N/A</i>	8 (dept. chooses 6)	<i>N/A</i>	8 (dept. chooses 6)
	Department	<i>N/A</i>	6	<i>N/A</i>	6
Student letters	Ph.D	All	All	All	All
	Other (UG and MS)	At least 6 randomly (10 requested); 2 optional additionally selected by Department Head	At least 6 randomly (10 requested); 2 optional additionally selected by Department	At least 6 randomly (10 requested); 2 optional additionally selected by Department	At least 6 randomly (10 requested); 2 optional additionally selected by Department
Other letters	<i>N/A</i>	<i>N/A</i>	<i>N/A</i>	<i>N/A</i>	<i>N/A</i>

PROCEDURES FLOW DIAGRAM



TENURE AND PROMOTION TIME CHART



Note: Timeline shown for cases with zero previous years of experience. For faculty members with non-zero years of previous experience, tenure decision deadline will be adjusted accordingly. Furthermore, any approved tenure clock stoppage (e.g., due to faculty leave) will require the adjustment of tenure timeline.

3.2 Departmental Review: The senior faculty in the department must review, discuss and vote (using a secret ballot) on each case using a scale of 0-3 (3 indicating “Strong Yes”, 2 indicating “Weak Yes”, 1 indicating “Weak No” and 0 indicating “Strong No”). For tenure-track faculty candidates being considered for promotion as well as tenure, separate votes must be taken for promotion and for tenure. The summary of votes must be reported in the department’s letter using the following table.

Candidate’s Name	# of 0 votes	# of 1 votes	# of 2 Votes	# of 3 Votes	Total # of Senior Faculty	Average

The Department Head will also prepare and attach to the documentation a letter for each faculty member under consideration for RPT in their department, summarizing the opinions of the senior faculty in the department on how the faculty member meets the criteria given above and giving the department's recommendation. The names of all senior members in the department will be listed on the Department Head’s letter. Individual senior faculty members in assent with the department letter will sign the letter. Senior faculty members in dissent with the department’s letter must write one or more separate letters which will be attached to the documentation supplied by the faculty members. Abstentions are not permitted. Any missing signatures on the Department Head’s letter should be explained in an accompanying note. The entire package will be forwarded to the CIT Dean’s Office by specified date in late August or early September.

In the event that the opinions of the senior faculty in the department are not unanimous and the Department Head is among those representing the minority negative opinion the following procedures should be followed. A faculty member among those in the majority should be appointed to chair a committee which will be responsible for preparing the departmental letter. This chairperson will be appointed by the Department Head with the concurrence of the faculty representing the majority opinion and the approval of the Dean. If the minority status of the Department Head becomes apparent before external reference letters are solicited, the chairperson of the committee representing the majority should agree with the Department Head on the list of persons from whom a letter is requested. If the Department Head expressed the minority view after external letters are solicited, the chairperson of the committee representing the majority should be allowed to review the list of persons for external letters and to solicit additional letters, if necessary, under the same guidelines as those governing the solicitation of external letters by Department Heads. Otherwise all other rules remain in force. The chairperson of the committee, or another member of the faculty representing the majority opinion, should also be invited to present the case before the CIT Review Committee, but will not participate in the vote.

3.3 Ad Hoc Committee Review: The Dean or Dean’s designate (usually the ADGFA) shall appoint tenured senior faculty members to serve on the CIT Ad Hoc Promotion and Tenure Committee. Appointments to the Committee shall be for a duration of one year. The ADGFA shall be the Chair of this committee and shall also select from the Committee, three-member Subcommittees, one for each faculty member being considered for promotion and/or tenure and two-member Subcommittees for cases of reappointment as Assistant Professor or Assistant Research Professor or Assistant Teaching Professor. The Ad Hoc Committee shall consist of at least one faculty member from each department in CIT. When appropriate, the Committee may invite faculty of Institutes and other Colleges to participate as non-voting members. Department Heads will not be selected to serve on the Ad Hoc committee unless no other senior faculty member is available from the department. The Dean will not participate in the Ad Hoc Committee deliberations

The Ad-hoc Subcommittees will review individual packages in depth. In cases of insufficient data, the Subcommittees may contact other CMU faculty members or solicit additional external evaluations coordinated with the ADGFA. At the end of the period of study, the Subcommittee will evaluate the strengths and weaknesses of the RPT case and summarize their findings in a memo following a template provided by the ADGFA. The Subcommittee summary will be presented at a meeting of the entire Ad Hoc Committee and discussed before being finalized. The memo will then be attached to the faculty member’s RPT package.

The Ad Hoc Committee will meet to consider the cases, including the summaries of its Subcommittees for each faculty member. Based on the documentation of the faculty member's case and any further discussion and information gathered, the Ad Hoc Committee will vote by secret ballot (using the 0-3 scale) on its recommendation for each case. For tenure-track faculty candidates being considered for promotion as well as tenure, separate votes must be taken for promotion and for tenure. The Subcommittee memo can be amended to reflect these deliberations. The Chair will not vote on the Ad Hoc Committee.

3.4 Review Committee Review: The Dean shall chair the Review Committee made up of the ADGFA, Academic Department Heads, and the CIT Faculty Chair and Chair-Elect. All members of the Review Committee must be tenured Full Professors. This Review Committee shall discuss the cases, including the recommendations of the Ad Hoc Committee and, in a secret ballot (using the 0-3 scale), make recommendations to the Dean for each faculty candidate. For tenure-track faculty candidates being considered for promotion as well as tenure, separate votes must be taken for promotion and for tenure. In the event that the candidate is not represented on the Review Committee by an Academic Department Head, the unit head for the candidate will present that candidate's case to the Review Committee; however only the Review Committee will vote on the case.

3.5 Dean's Recommendation: The Dean will then prepare a recommendation on each case, and attach this recommendation to the faculty member's RPT package. The packages will be presented by the Dean to the appropriate University Committee on Reappointment, Promotion and Tenure. Where the Dean's recommendation differs from that of the Review and/or Ad Hoc Committees, the reasons for this action shall be detailed.

3.5 As required by the University Appointments and Tenure Policy (https://www.cmu.edu/policies/forms-and-documents/Appointment_Tenure%20Policy.pdf), "(f)or all appointment and tenure decisions, the faculty member shall be notified promptly in writing of the departmental recommendation by the department head and of the dean's recommendation by the dean. Upon the written request of the faculty member, the department head or the dean, as the case may be, shall provide a written statement of the reasons for the recommendation, provided the faculty member agrees in writing that the statement is confidential and may be used for no other purpose than to discuss the reasons with the department head, the dean, the provost or the president, if the faculty member so chooses, or to submit the statement to the Faculty Review Committee in support of a grievance arising eventually out of a negative recommendation by the president to the Board of Trustees."

3.6 Multi-Department or College Candidates: To promote interdisciplinary research efforts, it is anticipated that faculty members may have joint appointments in two or more departments within CIT or in departments from different colleges in CMU. In such cases, a single RPT package can be prepared and submitted to the CIT Dean's Office as long as the package contains all the information required by CIT for RPT evaluation. For appointments that are equal to or greater than 25% in a department, the department will evaluate the junior faculty member for promotion and tenure. However, the majority department will serve as the "home" department for RPT package purposes. If a candidate has a 50% appointment in two departments, the candidate may choose which department will serve as the "home" department for RPT package purposes. If an appointment is less than 25% in a department, the department will not consider the case for purposes of RPT.

3.7 Initial faculty appointments: When appointments to faculty positions involving individuals from outside CMU are considered, it is expected that faculty members, Department Heads and the Dean of CIT will apply the same criteria established for promotions to the relevant rank. Faculty members from outside, particularly if they are endowed with attributes which make them extraordinarily valuable to the department and/or college, must be treated as special cases, for their accomplishments were achieved outside CMU. However, the faculty member's record and other evidence presented should indicate that the prospective faculty member will succeed in the academic community of CIT as a teacher and educator, and as a researcher.

Faculty members appointed initially in the tenure-track as Associate Professors with indefinite tenure or as Full Professors with indefinite tenure must undergo the complete RPT evaluation process before their tenure status is confirmed by the university. For those hired into such positions after the normal Fall RPT review cycle has started, RPT evaluations will be conducted in the Spring semester. Initial faculty appointments that do not involve indefinite tenure do not go through the RPT evaluation process.

4. INFORMATION TO BE SUPPLIED BY DEPARTMENT HEADS OR PROGRAM CHAIRS FOR REAPPOINTMENT, PROMOTION AND TENURE FACULTY MEMBERS

The package supplied by the faculty member should be prefaced by a letter summarizing the opinion of the senior faculty in the department giving the department's recommendation for reappointment or promotion and/or tenure. The letter should indicate the manner in which the faculty member meets the pertinent criteria for promotion, and it is to be signed by the senior faculty in assent. Any missing signatures on the letter should be explained in writing. Dissenting faculty members must write individual letters to the committee. A letter for each department is required for joint appointment cases involving two departments or institutes within CIT.

Faculty members for promotion should have external letters and other evidence reflecting the relative stature of the faculty member among peers in their field. The persons from whom letters are requested are to be selected in accordance with the procedures of Section 3.2 and 3.3, and the letters solicited by the Department Head (except under the certain conditions outlined in Section 3.6). A copy of the request letter and a list of persons from whom the letter is requested is to be sent to the ADGFA before they are sent out. The ADGFA will review the letter to be sure that:

- a) the extent of the request is satisfactory for the faculty member,
- b) the letter requests specific information relative to the faculty member's contributions,
- c) the responder is requested to evaluate the faculty member's stature in their field relative to their peers,
- d) the responder is made aware of CMU's tenure and promotion schedule as it applies to the faculty member,
- e) the responder is alerted in the event that the case represents early promotion, and
- f) the responder is informed of the level of confidentiality that the university intends to maintain.

The ADGFA will approve or suggest revisions within a week. It is suggested that a maximum of twelve letters be solicited, although more may be solicited with approval of the ADGFA. Department Heads are to include the following in the RPT promotions package with the reference letters:

- a) a list of all persons from whom letters were solicited, identifying those references proposed by the faculty member,
- b) a sample copy of the request letter or letters, and
- c) biographical information on the persons from whom letters were requested and a brief indication of the basis from which the responder is making their judgments on the faculty member.

Letters to and from external references and students will be held in confidence to the extent possible. Access to this information is limited to the CIT Ad Hoc and Review Committees, the Department Head, department senior faculty, the Dean, the ADGFA and the appropriate university committee.

The information outlined above is to be assembled in electronic form and submitted to the CIT Dean's Office through a secure web interface to be made available by the CIT Dean's Office.

5. INFORMATION TO BE SUPPLIED BY FACULTY MEMBERS FOR REAPPOINTMENT, PROMOTION AND TENURE

A comprehensive description of each faculty member’s activities is required for the review process undertaken within CIT. The following information is to be supplied in a standard format. It is the faculty member’s responsibility to assemble this information and to deliver it along with supporting documentation to their Department Head. The date this information is due to CIT will be supplied by the Dean’s Office. Templates for preparing the faculty member’s document are maintained by the Dean’s Office. The following sections should be included:

Faculty Member's Statement: Summarizes the faculty member's career highlights and outlines plans for future work. This statement from the faculty member is best kept short and in no case should exceed two pages.

Biographical Data:

- A. Name
- B. Place and date of birth
- C. Education: degree, discipline, university, and date (for each degree earned)
- D. All current and former positions, with dates, held at CMU and elsewhere, beginning with the earliest. Include private professional practice. For employment outside of CMU give employer, address, position, and a brief description of activities and responsibilities.
- E. All major consulting assignments to date: company, department, address, dates, supervisor or client’s name, and significant contributions.

Teaching and Education:

- A. Courses taught each semester since the faculty member has been at CMU. This list should show units and class level of each course, number of students taught, date, and the FCE scores for overall course and instructor ratings. Identify new courses developed by the faculty member. (An example of the format to be used is shown in the following). Indicate if a course is co-taught.
- B. Student projects: (a) undergraduate, (b) Master’s, (c) Ph.D. For each, list student name, project title, completion or expected completion date, and whether student was co-advised and if so, by whom. In the case of former Ph.D. students, also list present position, if known.
- C. Educational contributions, apart from classroom performance and supervision, such as new educational programs, textbooks, curricula, educational websites, technology-based educational programs and technical popularization materials developed by the faculty member. Include copies of pertinent material.

FORMAT FOR COURSE DATA (ITEM A)

Course Num	Course Title	Units	Class	Offered	Num of Students	Num Resp	FCE Crse	FCE Instr
18-100	Intro to ECE (a)	12	Fr	Fall 98	120	100	4.21	4.32
18-715	Physics of Applied Mag.	12	Gr	Spring 99	15	15	4.40	4.51
18-829	Gyrotropic Circuits (b)	12	Gr	Fall 99	12	10	3.80	3.92

Publications: In each of the categories designated, list entries in reverse chronological order. Include page numbers and publishers of articles. In case of manuscripts not yet published, indicate status as, e.g., submitted, accepted. In particular, separate reviewed from un-reviewed papers, especially in proceedings of symposia and state the review procedure. Underline the names of CMU student advisees and post-doctoral associate authors.

Faculty members should select and mark their five (or fewer) most notable publications and append a brief statement in the text of their documentation indicating the contribution(s) or significance of the selected publication. A copy of each of these notable publications should be submitted.

- A. Books
 - i. individually or jointly written
 - ii. individually or jointly edited
- B. Archival papers critically reviewed before publication on the basis of the full length manuscript, as in journals or transactions of a society. Please list both archival journal articles and highly selective, premier, peer-refereed conference publications in this section. Premier conferences are those acknowledged as such by the candidate's department.
- C. Papers fully peer reviewed prior to publication that have appeared in conference proceedings.
- D. Papers in symposium or conference proceedings accepted on the basis of submission and/or review of the abstract. Describe basis of participation (e.g., keynote address, general invitation, contributed abstract).
- E. Sections or chapters in an edited monograph or similar volume.
- F. Published abstracts, discussions or reviews written by the faculty member.
- G. Other writings such as project reports, papers published or distributed without critical review, letters to the editor, editorials, and so on.
- H. Discussions or reviews of the faculty member's work written by others, as well as the faculty member's response.
- I. Patent applications (indicate if provisional or regular applications) and patents.

Grants and Contracts: Identify grants and contracts awarded to the faculty member by title, funding source, and the period and amount of support. Principal Investigator(s) on each grant should be identified. The information should be in reverse chronological order, showing grants and contracts awarded to date and pending proposals.

- A. Grants and contracts with faculty member as Principal Investigator.
- B. Grants and contracts with faculty member as Co-Principal Investigator.
- C. Grants and contracts with faculty member as Faculty Associate.

Professional Activities: These include but are not limited to the following items.

- A. Seminars, talks and other presentations given without publication. List title, place or occasion, and date.
- B. Government committees, civic appointments, board memberships. Include position held in the group, organization, location, and dates of service.
- C. Membership and activities in honorary fraternities, professional societies, and associations. List committee memberships and positions on these committees, including dates.
- D. Editorial roles on professional publications and major activities in professional societies and meetings.

- E. Awards, prizes, honors (excluding pre-doctoral fellowships or assistantships). Identify the honor, awarding agency, its address, and dates.
- F. Service on CMU committees. Identify committee role and effective committee output, including dates.
- G. Developing and/or maintaining websites etc. of benefit to the research community.

Anything else the faculty member thinks is relevant.

6. POLICY ON RESEARCH FACULTY

- 6.1. Overview on Appointment:** As set forth in the University's Policy on Research Faculty Appointments, "Every appointment (including reappointment, with or without promotion) to a position in the research faculty shall be for a term of one year (with the exception of a terminal appointment, as mentioned.)" The procedures and timelines in this section for formal periodic review are based on the assumption that the faculty member has been reappointed by his or her department head during each of the intervening years. On an annual basis, department heads must either reappoint or let the appointment lapse because of unavailability of funding.
- 6.2. General Procedures.** The procedures outlined in this document for tenure-track faculty shall be applied to research faculty promotions, excluding reference to the granting of tenure. The criteria for evaluation and promotion are described in the University Policy on Research Faculty Appointments (<http://www.cmu.edu/policies/documents/ResearchFac.html>). Stated briefly, evaluation will focus primarily on the category of research as outlined in Section 2.2. To be promoted, a research faculty member must also demonstrate competence in teaching and educational activities, i.e. in disseminating the knowledge of his or her field. Typically this will be accomplished by supervising graduate and post-doctoral research. If a research faculty member has accepted teaching course assignments, their performance in these teaching assignments must be evaluated and those contributions taken into account in reappointment or promotion evaluations. Student reference letters must be obtained via the procedures outlined for tenure-track faculty members, with the exception that there is no requirement to obtain letters from students taught in courses if the faculty member has not taught any courses. Further only current and former Ph.D. advisees within 10 years since graduation are required. Other professional activities, by a research faculty member, such as those described under Section 2.3, should also be considered for evaluation. For Associate Research Professors seeking reappointment to Associate Research Professor, the Full RPT document will be submitted to the College as required for promotion to Associate Research Professor. In any case of conflict between the provisions of this document and those of the University Policy on Research Appointments, the latter shall prevail.

For research faculty, the following activities may be considered in addition to those listed in Section 2:

- **Facilitation and management of research programs.** Coordination of large research programs may be quite time consuming and not lead directly to publications. Nevertheless, this type of research management can be essential for large scale inter-disciplinary research efforts.
- **Industrial interaction and technology transfer.** Research faculty can take the lead in insuring the transfer of technology from universities to industry or other research organizations. Again, this is a time consuming activity that may not lead to peer-reviewed publications. Software codes used in industry may be one example of this type of technology transfer.
- **Research infrastructure development.** Building new, state-of-the-art facilities and laboratories can be the essential foundation for subsequent research and educational programs. Again, developing such facilities may be an appropriate activity for research faculty.

The usual timing of research faculty promotion is outlined in the attached Research Faculty Promotions chart. The process is summarized as: Based on an academic year “start date” the standard review and promotion process is:

Action	Timing
Reappointment to Assistant Research Professor	Start date + 3 years (package submitted at start date + 2 years; Fall submission)
Promotion to Associate Research Professor	Date of reappointment as Assistant Research Professor + 2 years (package submitted at date of Assistant Research Professor reappointment + 1 year; Fall submission)
Interim Review	Date of promotion to Associate Research Professor + 1 year (package submitted at date of promotion to Associate Research Professor + ½ year; Spring submission)
1 st Associate Research Professor Reappointment <i>or</i> Promotion to Research Professor	Date of promotion to Associate Research Professor + 4 years (package submitted at date of promotion to Associate Professor + 3 years; Fall submission) <i>Promotion to Research Professor is allowed at any time after completion of 1st appointment at Associate Research Professor</i>
2 nd + Reappointment as Associate Research Professor	Date of previous reappointment to Associate Research Professor + 6 years (package submitted at previous reappointment to Associate Research Professor + 5 years; Fall submission); Reappointment as Associate Research Professor level may repeat;
Research Professor Reappointment	Date of promotion to Research Professor + every 6 years; Spring submission (repeats)

If an Associate Research Professor is being considered for reappointment at the Associate level, the RPT package and process will follow the same requirements as promotion to the Associate level.

A summary of the letters required (and requested) with package for Research-Track are as follows:

Type of Letter	Who submits names	Reappointment as Assistant	Promotion to Associate OR Reappointment to Associate	Interim Review at Associate (first time only)	Promotion to Professor
External letters	Candidate	<i>N/A</i>	8 (dept. chooses 6)	<i>N/A</i>	8 (dept. chooses 6)
	Department	<i>N/A</i>	6	<i>N/A</i>	6
Student letters	Ph.D	All	All	All	All
	Other (UG and MS)	At least 6 randomly (10 requested) if courses taught; 2 optional additional selected by Department	At least 6 randomly (10 requested) if courses taught; 2 optional additional selected by Department	At least 6 randomly (10 requested) if courses taught; 2 optional additional selected by Department	At least 6 randomly (10 requested) if courses taught; 2 optional additional selected by Department
Other letters	<i>N/A</i>	<i>N/A</i>	<i>N/A</i>	<i>N/A</i>	<i>N/A</i>

6.3 Procedure for Evaluating the Reappointment of Research Professors. The procedure for evaluating the reappointment case for a Research Professor is as follows. By early February, the department should submit to the Dean’s Office the following three documents:

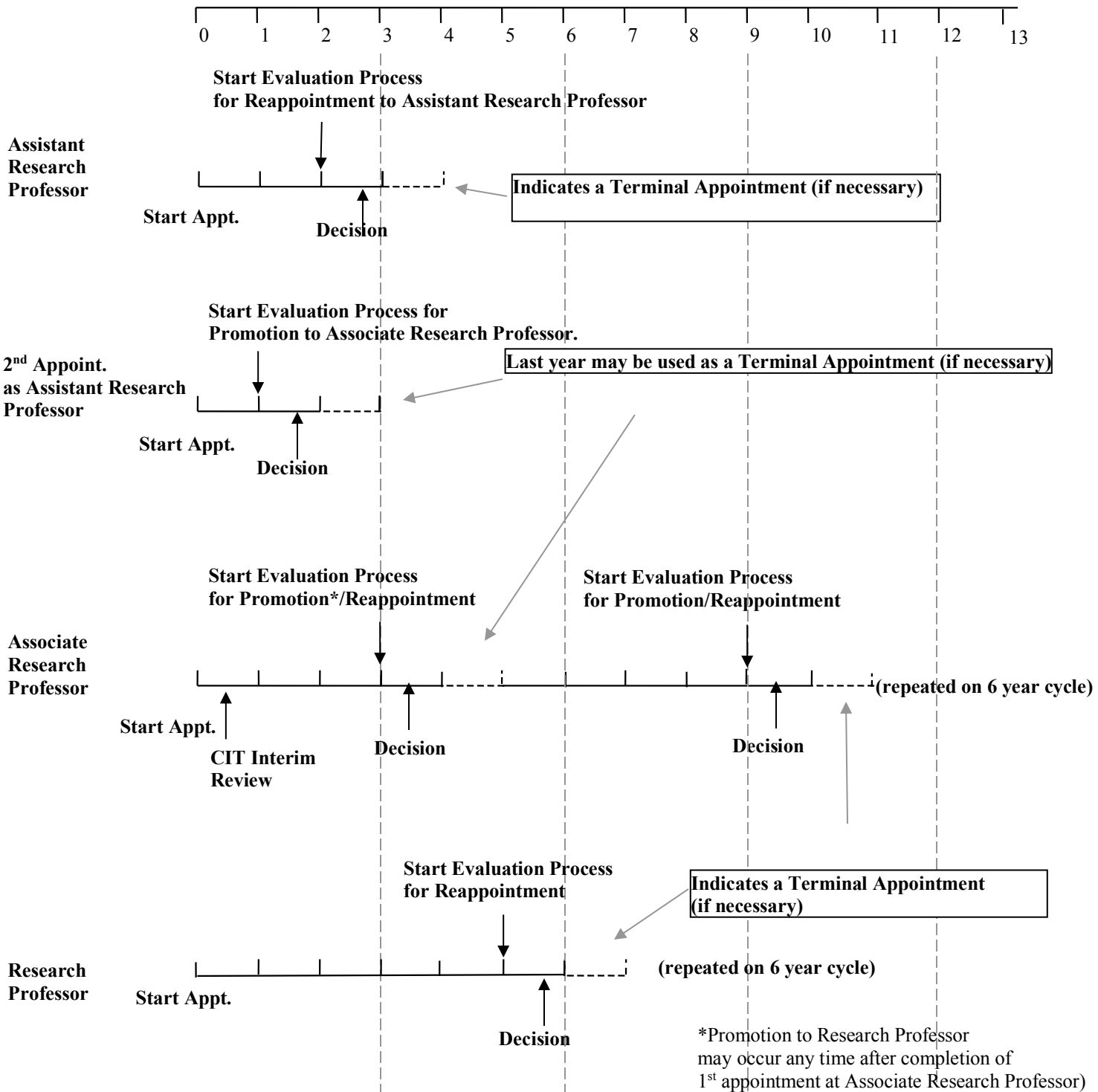
1. A personal planning document from the Research Professor, similar in form to the document requested of tenured senior faculty for the Senior Faculty Review process, which consists of three parts: a "review," a "commentary," and a "prospectus." The prospectus will consist of at most three pages and outlines what the research faculty member would like to accomplish during the coming six-year period with somewhat greater focus on the early years. It should address research and professional plans; it might also touch on educational issues, but this is not required. It should motivate the choices being made, discuss issues of financial support, and identify any assistance that will be required from the University and from other organizations.
2. A current vitae for the Research Professor that provides data that supports the discussion in the personal planning document, including a complete history of financial support.
3. A letter from the senior faculty in the department supporting the reappointment of the Research Professor. This letter should be similar in form to that presented for tenure-track faculty being promoted to Full Professor. All the senior faculty in the department must sign this letter, or alternatively, provide a dissenting letter.

This material will be presented to, and discussed by, the CIT Review Committee. Following this meeting, a recommendation concerning reappointment will be made to the University Committee for Untenured/Tenured Appointments and the Provost by the Dean, and reported to the Research Professor.

6.4 Policy on Research Faculty Support. It is expected in CIT that all research faculty members, prior to their period of appointment or reappointment, have acquired research funding, or have arranged to work on an existing research project, from which their salary will be drawn. In CIT, the full burden of providing support for research faculty members is on the research faculty members. All research faculty members shall identify within their annual faculty reports submitted to the Dean of CIT those funding sources from which they will draw their salary and those resources required by their research program for the next two years. This information is also to be updated and provided directly to the Dean of CIT at the time of appointment or reappointment.

RESEARCH FACULTY TIME CHART

Time Line in Years →



7. POLICY ON TEACHING-TRACK FACULTY

7.1 General Procedures. The procedures outlined in this document for tenure-track faculty shall be applied to teaching-track faculty, excluding reference to the granting of tenure and required solicitation of external reference letters. For each reappointment or promotion, 14 letters of reference from current or recently graduated students shall be selected by the Department Head via a random selection process applied to courses taught by the candidate in the three years preceding the submittal of the reappointment or promotion case (with the goal of obtaining at least 8 letters). Selection will be proportionate across all classes, both undergraduate and graduate, taught by the faculty member over the past 3 years. Additionally, 2-4 letters will be solicited by the Department Head based on undergraduate or masters students with whom the candidate has worked closely. Letters from all (current and former within 10 years of graduation) Ph.D. advisees, if any, must also be solicited. For promotion or reappointment to Associate Teaching Professor or promotion to Teaching Professor, 3-5 CMU faculty or staff, or external letters approved by the ADGFA will be solicited to evaluate the candidate's educational contributions. All submitted letters must be included in the RPT package.

Appointment, re-appointment or promotion of teaching-track faculty will be evaluated mainly on the basis of Teaching and Educational Activities and Other Considerations as detailed in Section 2. However, when a teaching-track faculty member performs research, those research contributions may be taken into account in the evaluation of that faculty member's reappointment or promotion. In those cases, the faculty member will identify three publications that will be included in the RPT package which will be evaluated by the senior faculty as part of the evaluation process.

The Teaching Faculty Time Chart for re-appointment and promotion is attached. Based on an academic year "start date" the standard review and promotion process is:

Action	Timing
Reappointment to Assistant Teaching Professor	Start date + 3 years (package submitted at start date + 2 years; Fall submission)
Promotion to Associate Teaching Professor	Date of reappointment as Assistant Teaching Professor + 3 years (package submitted at date of Assistant Teaching professor reappointment + 2 years; Fall submission)
1 st Reappointment as Associate Teaching Professor	Date of promotion to Associate Teaching Professor + 3 years (package submitted at date of promotion to Associate Teaching Professor + 2 years; Fall submission)
2 nd + Reappointment as Associate Teaching Professor	Date of previous reappointment to Associate Teaching professor + 5 years (package submitted at previous reappointment to Associate Teaching Professor + 4 years; Fall submission); Reappointment as Associate Teaching Professor level may repeat
Promotion to Teaching Professor	Promotion to Teaching Professor is allowed at any time after initial 3-year appointment to Associate Teaching Professor
Teaching Professor Reappointment	Date of promotion to Teaching Professor + every 5 years; Spring submission (repeats)

In any case of conflict between the provisions of this document and those of the University Policy on Teaching-Track Appointments (<http://www.cmu.edu/policies/documents/Lecturers.html>), the latter shall prevail.

As per the University Policy on Teaching-Track Appointments, "Associate Teaching Professors are expected to demonstrate exceptional mastery in teaching with a substantial impact on the university's educational mission" and promotion to full Teaching Professor requires "extraordinary accomplishment in teaching and fundamental contributions to the university's educational mission". The fundamental contribution to the university's educational mission could occur in a variety of ways such as creating new degree programs, developing and executing new outreach programs, conducting education research, developing and disseminating educational tools or pedagogy.

A summary of the letters required with package for Teaching-Track are as follows:

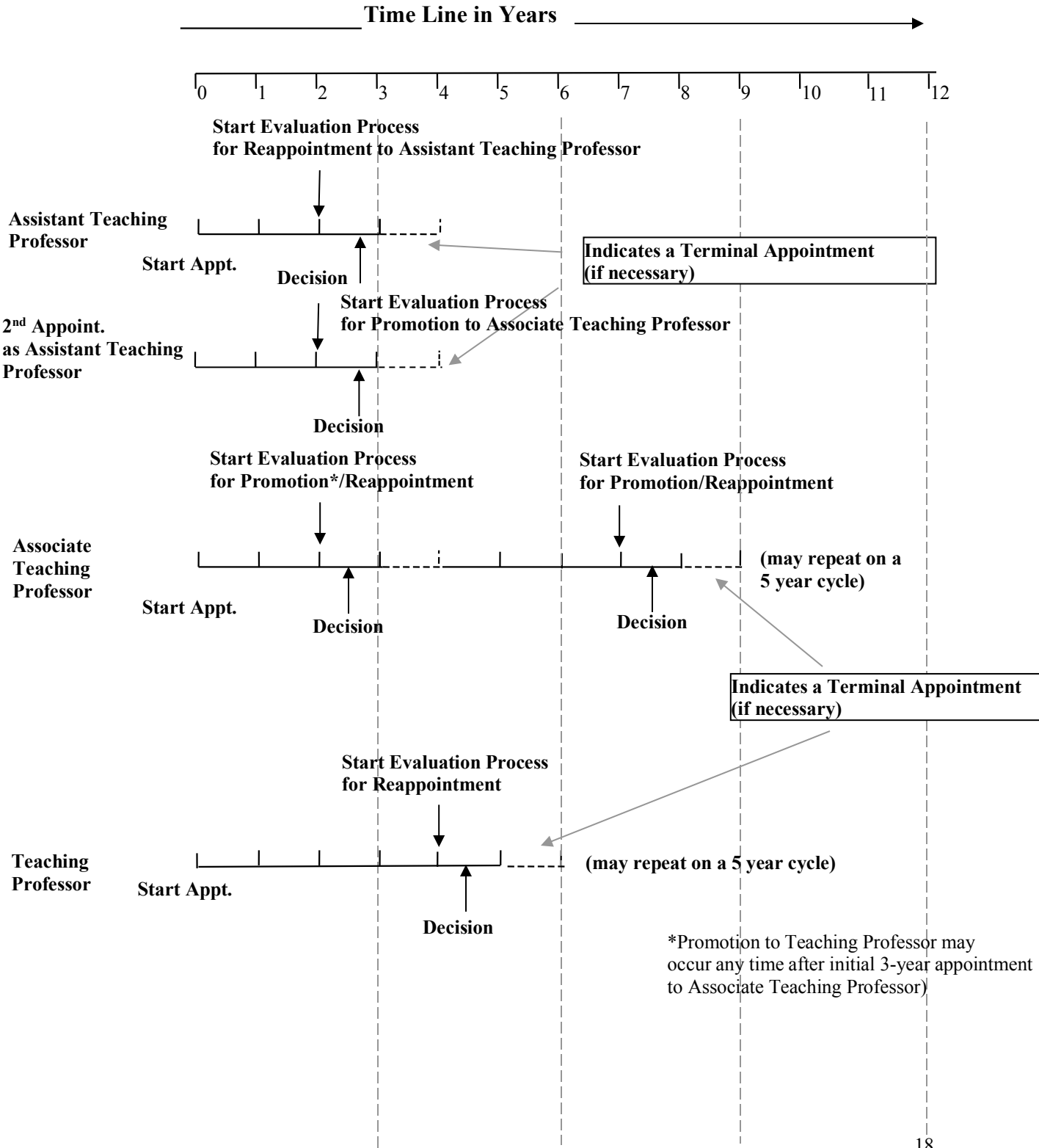
Type of Letter	Who submits names	Reappointment as Assistant	Promotion OR Reappointment to Associate	Promotion to Professor
External letters	Candidate	<i>N/A</i>	<i>N/A</i>	<i>N/A</i>
	Department	<i>N/A</i>	<i>N/A</i>	<i>N/A</i>
Student letters	Ph.D	All	All	All
	Other (UG and MS)	At least 8 randomly (14 requested); 2-4 additional selected by Department	At least 8 randomly (14 requested); 2-4 additional selected by Department	At least 8 randomly (14 requested); 2-4 additional selected by Department
Other letters	Internal faculty/staff or external	<i>N/A</i>	3- 5	3-5

7.2 Procedure for Evaluating the Reappointment of Teaching Professors. The procedure for evaluating the reappointment case for a Teaching Professor is as follows. By early February, the department should submit to the Dean's Office the following three documents:

- 1) A personal planning document from the Teaching Professor, similar in form to the document requested of tenured senior faculty for the Senior Faculty Review process, which consists of three parts: a "review," a "commentary," and a "prospectus." The prospectus will consist of at most three pages and outlines what the Teaching Professor would like to accomplish during the coming five-year period with somewhat greater focus on the early years. It should address plans for educational and professional activities, such as new courses, educational publications, textbooks, new degree or training programs, or technical popularization. It should motivate the choices being made, discuss any resources needed, and identify any assistance that will be required from the University and from other organizations to achieve these plans.
- 2) A current vitae for the Teaching Professor that provides data that supports the discussion in the personal planning document, including a complete history of educational activities and performance.
- 3) A letter from the senior faculty in the department supporting the reappointment of the Teaching Professor. This letter should be similar in form to that presented for tenure-track faculty being promoted to Full Professor. All the senior faculty must sign this letter, or alternatively, a dissenting letter.

This material will be presented to, and discussed by, the CIT Review Committee. Following this meeting, a recommendation concerning reappointment will be made to the University Committee for Untenured/Tenured Appointments and Provost by the Dean, and reported to the Teaching Professor.

TEACHING FACULTY TIME CHART



8. CIT PROMOTION AND TENURE CASE DOCUMENTATION

1. Memos from the Dean and Ad Hoc Promotions Committee
2. Letter(s) from all senior faculty in department(s)
3. Faculty member's Documentation, as applicable
 1. Statement
 2. Biographical Data
 3. Teaching and Education
 4. Publications
 5. Grants and Contracts
 6. Professional Activities
 7. Other Material
4. Reference letters
 1. Table of external referees with suggestion sources and reasons for any missing letters noted (internal referees for teaching-track)
 2. Short biographical sketches of external referees
 3. External reference letters (for tenure-track and research-track)
 4. Internal or external reference letters (for teaching-faculty)
 5. List of student referees (indicating which letters were randomly selected and which chosen by the Department Head; and which students are Ph.D. advisees)
 6. Student reference letters
 7. 5 articles for tenure-track and research-track; optionally 3 articles for teaching-track