



Appointment, Promotion and Tenure Procedures

(Approved by the UMBI Senate on January 26, 2007 and by the UMBI President on January 29, 2007)

This statement of procedures relates to the appointment, promotion and tenure of faculty. It is intended to reflect the University System of Maryland (USM) policies in these areas and is consistent with the mission of the University of Maryland Biotechnology Institute (UMBI). Faculty are subject to all applicable USM policies, as amended from time to time, including the USM Policy on Appointment, Rank, and Tenure of Faculty, which supersedes this policy in the event of any conflict with this policy. These procedures have been developed by the UMBI Senate and administration. Any changes in these procedures shall be submitted for review by the UMBI Senate and approval by the President.

I. Minimum Qualifications for Appointment or Promotion to the Academic Ranks

The faculty ranks that may be awarded tenure are: Professor, Associate Professor, and other ranks that are approved for tenure by the Board of Regents (BOR). The minimum qualifications for appointment or promotion to the academic ranks assigned by UMBI are as follows:

A. Tenured and Tenure-Track Titles

1. **Assistant Professor.** An appointee to the rank of Assistant Professor shall hold the highest earned degree in his or her field of specialization. The appointee should have indicated promise of a superior level of creative ability and research in his or her field. Appointees should be qualified and competent to direct the work of others (such as technicians, graduate students, other senior research personnel). Initial appointment shall be for a three-year period and is renewable for additional terms of one to three years provided no tenure-track appointment without tenure extends beyond the end of the mandatory tenure review year.
2. **Associate Professor.** In addition to the qualifications of an Assistant Professor, the appointee shall have demonstrated extensive successful experience in research, demonstrated ability to compete for extramural support for a productive research program, and have obtained national recognition in his or her field. In addition, appointees to this rank should have extensive successful experience in scholarly or creative endeavors, and the ability to propose, develop, and manage major research projects. Since this position may carry tenure, his or her scholarly production and professional achievement in research must be thoroughly documented. Promotion of a tenure-track appointee to this rank will carry tenure. New full-time appointments to the rank of Associate Professor may carry immediate tenure provided that each such appointee has been formally reviewed for tenure. Otherwise, such appointments shall be for an initial period of one to four years.
3. **Professor.** In addition to having the qualifications of an Associate Professor, the appointee shall have demonstrated a degree of proficiency in research sufficient to establish an excellent national and international reputation. Appointees should provide tangible evidence of sound scholarly production in research, publications, extramural funding, professional achievements or other distinguished and creative activity. There shall be continuing evidence of relevant and effective service to UMBI, the community, and the profession.

Appointment to this rank may carry tenure, provided that the appointee has been formally reviewed for tenure. Promotion of tenure-track appointees to this rank will carry tenure. New full-time appointments to the rank of Professor may carry immediate tenure provided that each such appointee has been formally reviewed for tenure. Otherwise, such appointments shall be for an initial period of one to four years.

B. Non-tenured and Non-Tenure Track Titles

1. Assistant Professor (Non-Tenure Track). The appointee shall have all of the qualifications of an Assistant Professor. Initial appointment to this rank is for periods up to three years, and reappointment is possible. There is no limit to the number of years in this title.
2. Associate Professor (Non-Tenure Track). The appointee shall have all of the qualifications of a tenure-track Associate Professor. Initial appointment to this rank is for periods up to three years, and reappointment is possible. There is no limit to the number of years in this title.
3. Professor (Non-Tenure Track). The appointee shall have all the qualifications of a tenured Professor. Initial appointment at this rank is for periods up to five years, and reappointment is possible. There is no limit to the number of years in this title.
4. Faculty Research Assistant. The appointee shall be capable of assisting in research under the direction of the head of a research project and should have the ability and training to carry out adequately the particular techniques required, the assembling of data, and the use and care of any specialized apparatus. A baccalaureate degree shall be the minimum requirement. This appointment is made annually and is renewable.
5. Research Associate. The appointee shall be capable of carrying out independent research or collaborating in group research at the advanced level, should be trained in research procedures, and should have had the experience and specialized training necessary to develop and interpret data required for sustained responsibilities in research. An earned doctorate shall normally be a minimum requirement. This appointment is made annually, with reappointment possible for a maximum of six years.
6. Visiting Appointment. The prefix Visiting before a title may be used to designate a short term (typically up to one year), full-time appointment without tenure of a person who is normally permanently employed elsewhere.
7. UMBI Affiliate Assistant Professor, Affiliate Associate Professor, Affiliate Professor. These titles are used to recognize the affiliation of a faculty member with a UMBI research Center when that individual's appointment and salary lie in another Center of UMBI. The appointment will be made upon the recommendation of the Director and faculty of a Center, and at a level commensurate with the appointee's rank and qualifications, consistent with standards established for regular tenure-track faculty. These positions carry no voting privileges in program and policy decisions of the Center.
8. System Affiliate Assistant Professor, Affiliate Associate Professor, Affiliate Professor. These titles are used to recognize the affiliation of a faculty member with a USM institution when that individual's appointment and salary lie in

another institution of the USM. The appointment will be made upon the recommendation of the Director and faculty of a Center, and at a level commensurate with the appointee's rank and qualifications, consistent with standards established for regular tenure-track faculty. These positions carry no voting privileges in program and policy decisions of the Center.

9. Adjunct Assistant Professor; Adjunct Associate Professor; Adjunct Professor. These titles are used to appoint outstanding persons who can contribute to the mission of the Center but may be simultaneously employed outside the University System of Maryland. The appointee shall be sponsored by a faculty member of the Center and shall have expertise in the discipline and recognition for accomplishment sufficient to gain the endorsement of the preponderance of the members of the faculty of the Center to which he or she is appointed. Appointment is made on an annual basis and is renewable. Normally, adjunct appointments shall comprise no more than a small percentage of the faculty in a Center. These positions carry no voting privileges in program and policy decisions of the Center.
10. Professor of the Practice. This title is used to appoint a person who has demonstrated a degree of excellence in the practice of a field sufficient to establish an outstanding reputation among regional and national, and where appropriate, international colleagues. Such individuals usually lack the scholarly credentials that would be required for appointment to other faculty titles. Appointment of a Professor of the Practice shall be recommended by the Center Director to the Vice President for Academic Affairs providing a statement explaining how the appointment serves the needs of the Center and the reasons that appointment at a standard faculty title is not appropriate. The Vice President for Academic Affairs shall prepare a recommendation for the President, who will make the appointment of a Professor of the Practice.
11. Emeritus Faculty. Emeritus status may be assigned on the basis of both quality and length of service to the institution. This title shall be assigned to Professors or Associate Professors who have retired from UMBI and who have provided exceptionally meritorious service to the institution. The nominations for emeritus status will be forwarded by the Center faculty and Director to the President.
12. Distinguished UMBI Professor. The title "Distinguished Professor" is bestowed to provide special recognition to a professor (non-tenure track) or tenured professor who is renowned internationally for his/her achievements in science or biotechnology. The title is reserved for outstanding senior faculty who are recognized throughout UMBI for their pioneering seminal research or important unique application. The process for selecting Distinguished Professors is described in a separate UMBI policy (Policy for Determination of Distinguished Professors).

II. Criteria for Appointment and Promotion

The criteria for appointments, tenure, and promotion are intended to be consistent with USM policies and the approved mission of UMBI: to develop an internationally eminent research program; to contribute to USM education and training programs; and to foster the state's economic development. To ensure that UMBI can fulfill its mission, it is the special responsibility of those in charge of recommending appointments to seek out individuals with exceptional qualifications.

UMBI Policies and Procedures

The UMBI criteria for appointment, promotion, and tenure are consistent with those affirmed by the USM: (1) research and scholarship; (2) teaching and training effectiveness, including student advising; (3) relevant service to the community, profession, and institution. In keeping with the UMBI mission, these USM criteria are defined as follows:

A. Research and Scholarship

As a USM research and service institution, UMBI places major emphasis on research productivity and scholarship. Hence the primary factor in determining a faculty member's merit for appointment or promotion shall be his or her contributions in the form of research. The nature of the performance will vary from one research program to another, but the general test to be applied is that the faculty member be engaged continuously and effectively in research activities of high quality and significance, appropriate to his or her rank and position, in accordance with the UMBI mission. The quality of such efforts shall be the primary measure of achievement. Intellectual scholarly productivity, especially at junior ranks, and demonstrated creative imagination, especially at senior ranks, are primary indicators. Research activities and productivity that cannot be reviewed by members of the UMBI faculty and administration shall not be considered in the decision to appoint or promote an individual.

Evidence of faculty research and scholarship are

1. Highly regarded research contribution and accomplishments from basic research to applied research and development, as evaluated by appropriate internal and external reviewers.
2. Publication of original research in peer reviewed journals.
3. Grants and Contracts received from federal agencies, private non-profit foundations and organizations, industry support for research and development.
4. Scientific reviews and book chapters.
5. Academic and research honors and awards.
6. Patents awarded.

B. Teaching and Training Effectiveness

Although UMBI is not a degree-granting institution, its mission does include contributions to education, and UMBI faculty engage regularly in teaching and training. Educational efforts may focus on teaching and advisory contributions to USM programs and to the education/training needs of other constituent groups who would benefit from the participation of UMBI faculty members in such activities. Examples of faculty contributions in this criterion area are:

1. Participation in the advanced training of graduate students through course instruction, laboratory rotations, thesis and dissertation advisement.
2. Provision of research experiences for undergraduates from other USM institutions, as well as other institutions of higher education in the State.
3. Contributions to USM graduate program instruction and course development in programs such as Graduate Program in Life Sciences, Molecular and Cell Biology, Toxicology, Marine-Estuarine-Environmental Sciences, and in science

and engineering department graduate programs of USM degree-granting counterparts.

4. Supervision and training of postdoctoral trainees, fellows, and scholars.
5. Participation in the design and development of short courses and workshop programs for industry personnel and government agencies.
6. Support of the development of school system science and biotechnology course development and provision of internships for public school students and their teachers.
7. Assisting community college instructors and public school teachers to develop increased knowledge and skills in science and biotechnology through lecture-demonstration activities and special institute programs.
8. Provision of expert consulting advice on science and biotechnology topics of interest to the general public.
9. Providing government officials and decision makers with information on science and biotechnology to help them make informed judgments regarding legislation, executive initiatives, and the development of funding of biotechnology education and industry.

C. Service

In addition to a record of excellence in research and contributions to education and training activities, candidates for promotion or tenure should have demonstrated a commitment to university service activities, which may include support of the biotechnology industry. This combination of university-professional and industrial interactions is consistent with the UMBI mission in the area of economic development. Indicators of performance in this area would include:

1. Participation on Center, UMBI and USM committees.
2. Contributions to administrative or coordination efforts related to the programs and activities of the research centers.
3. Interaction with the UMBI Industry Liaison and USM Technology Transfer Offices, as appropriate, for the advancement of discoveries, disclosures, patents.
4. Interaction with industry scientists on activities of mutual interest and concern.
5. Supervision of "mini" sabbatical assignments of industry scientists to UMBI laboratories.
6. Resolution of scientific and technical problems of industry through collaborative research activity.
7. Participation in industry-supported research consistent with the faculty member's research interests.
8. Participation in industry-UMBI seminars and joint meetings as a way of building industry-UMBI relationships which have the potential of enhancing the

commercialization of the State's biotechnology activity.

9. Contribution to the program activities of the Maryland high technology councils as a means of exchanging scientific information with representatives of the State's biotechnology industry.
10. Assistance to the UMBI Industry Liaison in the exchange of information and the integration of efforts between UMBI and the biotechnology industry.
11. Participation with Maryland industry on Maryland Industrial Partnership (MIPS) proposals and projects.
12. Interaction with adjunct faculty from industry and government agencies.

An emphasis on the areas of education/training and economic development does not reduce the primacy of the UMBI research-scholarship criterion -- indeed the quality of science is the foundation for contributions to education and training and economic development.

III. Provisions Related To Appointment, Promotion, and Tenure

The provisions included in this section of the UMBI document are drawn from the USM Policy on Appointments, Rank, and Tenure and, along with the other components of these UMBI procedures, are to be furnished to new faculty members at the time of their initial appointment.

- A. Adjustments in salary or advancement in rank may be made under these policies, and, except where a definite termination date is a condition of appointment, the conditions pertaining to the rank as modified shall become effective as of the date of the modification. For tenure track appointments, the year in which the appointee is entitled to tenure review under this policy ("mandatory tenure-review year") shall be specified in the original and subsequent contracts/letters of appointment. Tenure review shall occur in that year unless otherwise agreed in writing by the institution and the appointee. Tenure in any rank can be awarded only by an affirmative decision based upon a formal review.
- B. Subject to any special conditions specified in the faculty contract, full-time appointments and reappointments to the rank of Assistant Professor shall be for an initial term of one to three years, provided no appointment to the rank of full-time Assistant Professor (Tenure Track) may extend beyond the end of the mandatory tenure review year. An appointment to the rank of fulltime Assistant Professor (Tenure Track) will be renewed automatically for one additional year unless the appointee is notified in writing to the contrary in accordance with the following deadlines: not later than March 1 of the first year of service if the current appointment expires at the end of that year, not later than December 15 of the second year of service if the current appointment expires at the end of that year. After the second year of the initial appointment and for subsequent reappointments, the appointee shall be given one full year's notice if the institution does not intend to renew the appointment. For appointments beginning at times other than the start of an academic year, the non-renewal dates may be adjusted accordingly by specifying such adjustment in the initial contract or letter of appointment. If the appointee does not receive timely notification of non-renewal, the initial appointment shall be extended for one additional year. An initial appointment may be renewed for an additional one, two, or three years. Such appointments may be terminated at any time in accordance with paragraphs E through J.

- C. An Assistant Professor on the tenure-track whose appointment is extended to a full six years shall receive, no later than the sixth year, a formal review for tenure. The appointee shall be notified in writing, by the end of the appointment year in which the review was conducted, of the decision to grant or deny tenure. A full-time tenure-track appointee who has completed six consecutive years of service at the institution as an Assistant Professor, and who has been notified that tenure has been denied, shall be granted an additional and terminal one-year appointment in that rank, but barring exceptional circumstances, shall receive no further consideration for tenure or additional reappointment. An Assistant Professor on the non-tenure track may be reviewed for promotion in rank on the non-tenure track in accordance with this policy.
- D. Full-time appointments or promotions on the tenure-track to the rank of Associate Professor or Professor require the written approval of the President of the institution. Promotions on the tenure-track to the rank of Associate Professor or Professor carry immediate tenure and may only be awarded subsequent to a formal tenure review and an award of tenure. New full-time tenure-track appointments to the rank of Associate Professor or Professor may carry immediate tenure, provided that each such appointee has been formally reviewed for tenure. Otherwise, such appointments shall be for an initial period of one to four years and shall terminate at the end of that period unless the appointee is notified in writing that he or she has been granted tenure.

An Associate Professor or Professor who is appointed on the tenure-track without tenure shall receive a formal review for tenure. If the appointment is for an initial period of one year, then the formal review must be completed, and notice must be given that tenure has been granted or denied, by March 1 of that year. If the appointment is for two years, then the formal review must be completed, and notice must be given that tenure has been granted or denied, by no later than December 15 of the second year. If the appointment is for more than two years, then the formal review must be completed, and notice must be given that tenure has been granted or denied, by no later than one year prior to the expiration of the appointment. A two-year appointee may request consideration for tenure after the first year. Appointments carrying tenure may be terminated at any time as described under paragraphs E through J. An Associate Professor on the non-tenure track may be reviewed for promotion in rank on the non-tenure track in accordance with this policy

- E. A term of service may be terminated by the appointee by resignation, but it is expressly agreed that no resignation shall become effective until the termination of the appointment period in which the resignation is offered except by mutual agreement between the appointee and the chief executive officer of the institution or designee.
- F.
1. The President of the institution may terminate the appointment of a tenured or tenure-track appointee for moral turpitude, professional or scholarly misconduct, incompetency, or willful neglect of duty, provided that the charges be stated in writing, that the appointee be furnished a copy thereof, and that the appointee be given an opportunity prior to such termination to request a hearing by an impartial hearing officer appointed by the chief executive officer or a faculty board of review as provided for by the relevant institutional policy body. With the consent of the chief executive officer, the appointee may elect a hearing by the chief executive officer rather than by a hearing officer or a faculty board of review. Upon receipt of notice of termination, the appointee shall have 30 calendar days to request a hearing. The hearing shall be held no sooner than 30 calendar days after receipt of such a request. The date of the hearing shall be set by mutual agreement of the appointee and the hearing

officer or faculty board of review. If the chief executive officer appoints a hearing officer or a faculty board of review is appointed, the hearing officer or board shall make a recommendation to the chief executive officer for action to be taken. The recommendation shall be based only on the evidence of record in the proceeding. Either party to the hearing may request an opportunity for oral argument before the chief executive officer prior to action on the recommendation. If the chief executive officer does not accept the recommendation of the hearing officer or board of review, the reasons shall be communicated promptly in writing to the appointee and the hearing officer or board. In the event that the chief executive officer elects to terminate the appointment, the appointee may appeal to the Board of Regents, which shall render a final decision.

2. Under exceptional circumstances and following consultation with the chair of the faculty board of review or appropriate faculty committee, the chief executive officer may direct that the appointee be relieved of some or all of his or her institutional duties, without loss of compensation and without prejudice, pending a final decision in the termination proceedings. (In case of emergency involving threat to life, the chief executive officer may act to suspend temporarily prior to consultation.)
 3. The appointee may elect to be represented by counsel of his or her choice throughout termination proceedings.
- G. If an appointment is terminated in the manner prescribed in paragraph F, the chief executive officer of the institution may, at his or her discretion, relieve the appointee of assigned duties immediately or allow the appointee to continue in the position for a specified period of time. The appointee's compensation shall continue for a period of one year commencing on the date on which the appointee receives notice of termination. A faculty member whose appointment is terminated for cause involving moral turpitude or professional or scholarly misconduct shall receive no notice or further compensation beyond the date of final action by the chief executive officer or the Board of Regents.
- H. The institution may terminate any appointment because of the discontinuance of the department, program, school or unit in which the appointment was made; or because of the lack of appropriations or other funds with which to support the appointment. Such decisions must be made in accordance with standards and procedures set forth in written institutional policies. The President shall give a full-time USM appointee holding tenure or tenure-track position notice of such termination at least one year before the date on which the appointment is terminated.
- I. Notwithstanding any other provisions to the contrary, the appointment of any non-tenured faculty member 50% or more of whose compensation is derived from research contracts, service contracts, gifts or grants, shall be subject to termination upon expiration of the research funds, service contract income, gifts or grants from which the compensation is payable.
- J. Appointments shall terminate upon the death of the appointee. Upon termination for this reason the institution shall pay to the estate of the appointee all of the accumulated and unpaid earnings of the appointee plus compensation for accumulated unused annual leave.
- K. Appointments to all other ranks not specifically mentioned in I.A. and all part-time appointments are for terms not to extend beyond the end of the fiscal year unless otherwise stipulated in the letter of appointment. Faculty appointed to ranks not

specifically mentioned in I.A. on a full-time basis for a term not less than one academic year shall receive notice of nonrenewal of contract based upon their length of continuous full-time service in such ranks. If such service is less than seven years, at least 90 days notice is required. If such service equals or exceeds seven years, at least six months notice is required. If the required notice is not provided prior to the termination of the then-current contract, this condition may be remedied by extending the contract by the number of days necessary to meet the notice requirement.

- L. If in the judgment of the appointee's Center Director or supervisor a deficiency in the appointee's professional conduct or performance exists that does not warrant dismissal or suspension, a moderate sanction such as a formal warning or censure may be imposed, provided that the appointee is first afforded an opportunity to contest the action through the established faculty grievance procedure.
- M. Unless the appointee agrees otherwise, any changes that are hereafter made in paragraphs A-L will be applied only to subsequent appointments.
- N. Compensation for appointments under these policies is subject to modification in the event of reduction in State appropriations or in other income from which compensation may be paid.
- O. The appointee shall be subject to all applicable policies and procedures duly adopted or amended from time to time by the institution or the University System, including but not limited to, policies and procedures regarding annual leave; sick leave; sabbatical leave; leave of absence; outside employment; patents and copyrights; scholarly and professional misconduct; retirement; reduction, consolidation, or discontinuation of programs; and criteria on teaching, scholarship and service.

IV. Promotion and Tenure Review

Promotion in rank and the award of tenure are not automatic but are to be based on merit and achievement as related to UMBI criteria for tenure-track, non-tenure track and tenured faculty.

A. The Center Promotion and Tenure Committee

When a ladder rank faculty member is to be considered for promotion or tenure the Director of the Center involved shall recommend a Promotion and Tenure (P&T) Committee to the VPAA. The following procedures shall be employed:

1. A Center P&T Committee consisting of five members shall be appointed by the VPAA.
 - a. All of the UMBI committee members should be tenured faculty at or above the rank for which the candidate will be considered. UMBI administrative officers and members of the UMBI Review Committee will not be eligible to serve on the Center P&T Committee.
 - b. No more than three committee members can be from the candidate's assigned Center; the other two committee members shall be from another UMBI Center, a related department within the USM, or from an external research agency such as USDA, NIST.
2. After the Center P&T Committee is appointed, the Center Director will convene the first meeting of the Committee to outline its charge, define committee

responsibilities, and set the time-table for completion of the process.

3. The Center P&T Committee shall collect the following information on the candidate, which will become the "dossier":
 - a. A personal statement from the candidate outlining professional activities, goals, and accomplishments as related to P&T criteria.
 - b. A complete up-to-date curriculum vitae (including papers published in refereed journals, book chapters, symposium proceedings and abstracts, research findings, patents, major achievements, and services) submitted and certified by the candidate as true and complete.
 - c. Selected reprints of his or her scholarly research work.
 - d. Letters of external review from scientists of national and international reputation in the candidate's field of expertise. For promotion to or tenured appointment at the rank of Associate Professor, at least six external supporting letters should be secured. For promotion to or tenured appointment at the rank of Professor, at least eight external supporting letters should be secured. At least three external reviewers for associate professor and four external reviewers for candidates for promotion to professor shall be selected by the Center P & T committee. The letter from the Center P&T Committee to the external referees should be reviewed by the office of the VPAA for uniformity with each other.
4. The P&T Committee shall seek input from all primary Center tenured faculty at ranks equivalent to or above that for which the candidate is being considered. The candidate's promotion dossier will be made available to these faculty, who shall, in turn, be invited to respond to the P&T Committee in writing with evaluation of the candidate. These letters will be included in the candidate's dossier. However, failure of any such faculty member to provide written evaluation shall not be considered reason to delay the P&T Committee's decision.
5. The P&T Committee, taking careful measure of all dossier materials and external letters of review, and after full discussion, shall, in closed ballot with no abstentions, complete its vote regarding the candidate's tenure and/or promotion. The P&T Committee report to the Center Director shall include its recommendation on the tenure and/or promotion of the candidate, a record of the committee vote, and the signatures of all committee members.
6. The Center Director shall make a written recommendation to the VPAA of UMBI with regard to the candidate's tenure and/or promotion addressing research quality, productivity and significance, training record and service. This recommendation shall be accompanied by the P&T Committee's report and recommendation, and the candidate's dossier.
7. The P&T Committee's report, the Center Director's report, the letters from external reviewers, and any written evaluations by Center faculty are to be held in strictest confidence and are not to be shared with the candidates or any individual unspecified in the review process without specific approval by the VPAA.

UMBI Policies and Procedures

B. The UMBI Review Committee

1. The President shall appoint a Review Committee to advise the VPAA on the promotion and tenure recommendations from the Center P&T Committee and the Center Director. The UMBI Review Committee shall consist of one professor from each Center, appointed for three years, and two professors shall be drawn from related disciplines from other campuses of the USM. Members of the UMBI Review Committee will normally serve only one three year term. The committee will be constituted from among nominations received from the UMBI Centers.
2. The UMBI Review Committee shall have access to materials provided by the candidate, letters of references, the P&T Committee's written recommendation, and the Center Director's written recommendation. These materials are highly confidential and may be neither copied nor removed. At their discretion, the UMBI Review Committee may meet with the P&T Committee Chair and/or the Center Director. The UMBI Review Committee activities shall include a review of P&T Procedures, consideration of all dossier materials for each candidate, and discussion of each candidate's case individually taking into account the relevant criteria stipulated in these Appointment, Promotion and Tenure Procedures. Following discussion of each candidate, Committee members shall each vote either in support of or against recommending tenure and/or promotion; abstentions are not permitted.
3. Any candidate who has requested early promotion and tenure will be given the opportunity to withdraw his or her materials from consideration by the VPAA before a negative recommendation by the UMBI Review Committee is transmitted to the President. The candidate may then be reconsidered for promotion and tenure at the time he or she would ordinarily be considered.
4. The UMBI Review Committee shall transmit its written report to the VPAA . This report is confidential, and it must not be discussed by committee members other than with the VPAA . In addition to materials and reports accumulated in the P&T process, the report shall include the results of the UMBI Review Committee vote and signatures of the Committee members.
5. The VPAA will make a written recommendation to the President for final action. The recommendation shall include a summary of the results of the review process and the VPAA's recommendation on each case.
6. The VPAA and President shall give strongest consideration to the recommendations of the Center Director and Center P&T Committee.
7. The President shall make the final decision. UMBI promotion and tenure decisions shall be announced by the President by June 30 of each year.
8. When a candidate receives notification that tenure or promotion was not granted after positive recommendations from the Center P&T Committee and Director, the candidate shall receive a written explanation of the reasons from the VPAA.

C. Summary of Materials to be Included in Promotion and Tenure Files

The following documents should be included in Promotion and Tenure files:

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1. Letter from candidate requesting a review for promotion and/or tenure should such a review be a non-scheduled review.
2. Letter from the Center Director to the VPAA recommending the P&T Committee.
3. Letter from VPAA appointing P&T committee members.
4. A copy of an updated curriculum vitae (including papers published in refereed journals, book chapters symposium proceedings and abstracts, research findings, patents, major achievements, and services).
5. A selected set of reprints of the candidate's scholarly research work.
6. List of external reviewers and brief biographical statements about each reviewer.
7. Letters soliciting external reviews.
8. Letters from External reviewers.
9. Letters from faculty colleagues in UMBI as specified above (IV.A.4).
10. Recommendation of the P&T Committee.
11. Recommendation of the Center Director.
12. Recommendation of the UMBI Review Committee.
13. Recommendation of the VPAA of UMBI.
14. Decision of the President of UMBI.
15. Other supporting materials, as appropriate.

D. Promotion and Tenure Review Schedule

July: Candidates scheduled for P&T review (as outlined in section V and designated in the appointment letter) will be identified by Center Directors. Faculty members requesting a non-scheduled review must make a written request to the Center Director. This information is forwarded to the VPAA by the Center Directors. The candidates proceed to develop their dossier.

September: 1.) Center Director recommends the P&T Committee membership; VPAA appoints P&T Committee, including chairperson; Center Director convenes P&T Committee. 2.) P&T Committee collects the certified current curriculum vitae, dossier and other relevant documents from the candidate, including the names of proposed external reviewers.

October: P & T Committee arranges for external reviews and forwards all [appropriate] dossier materials (candidate's self-assessment, vitae, reprints of scholarly materials) to the reviewers.

November - December: P & T Committee receives external reviews and conducts evaluation of the record as related to UMBI criteria.

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February: P&T Committee submits report to Center Director who forwards this report and an independent recommendation along with all dossier material to the UMBI VPAA .

March: UMBI Review Committee makes its report and recommendation to the VPAA of UMBI.

April: UMBI VPAA makes [his or her] recommendation to the President.

May: UMBI President announces promotion and tenure decisions.

V. The Appeals Process

When a candidate for promotion and/or tenure receives written notification from the President that promotion or tenure was not awarded, the candidate has 30 days after receipt of such a decision to appeal it in writing to the President, stating the grounds for the appeal. The only permissible grounds for appeal are violation of substantive or procedural due process. Violation of substantive due process means (1) the decision was based on an illegal or unconstitutional consideration such as the candidate's race, gender, national origin, age, disability, or the candidate's exercise of his or her protected First Amendment rights (for example, freedom of speech) or (2) the decision was arbitrary and capricious. Violation of procedural due process means that the decision was arrived at without following the required procedures set forth in this document.

If the appeal states a permissible ground and is submitted within the required time frame, the President shall appoint an Appeals Committee. The Committee shall be selected from persons nominated by the Center Directors, and shall consist of full professors, one from each UMBI research Center and one from the life science disciplines at one of the degree granting campuses of the USM. Each Center Director will make two nominations from among the UMBI faculty and two nominations from among the life science departments at other USM campuses. The Center Director nominations will be drawn from nominations submitted by the faculty members of the research Centers. Faculty members who have participated in the promotion and tenure review process for a particular candidate shall not serve on the Appeals Committee. The Appeals committee shall elect its own chair.

The candidate has 60 days from the date he or she submits the appeal to provide the Committee with all relevant documents in support of his appeal. An extension of this time may be granted by the President upon request if circumstances require that the candidate have additional time to prepare and submit materials for the Committee. The Appeals Committee shall examine all appropriate documentation and report its findings and recommendations to the President for consideration. The President shall then make the final decision and shall inform the candidate in writing of his or her decision within a reasonable period. Such decision shall be final and not appealable.

REVIEWED AND RECOMMENDED:

Marian J. Jackson, Ph.D. Vice President, Academic Affairs 03/08/2007

APPROVED:

Jennie C. Hunter-Cevera March 28, 2007