



## PROCEDURES FOR CONSIDERATION OF FACULTY FOR PROMOTION

The criteria for faculty promotion may be found in the Agreement between Utica College and American Association of University Professors Utica College Chapter (expiring May 31, 2020), Article 8.8.1, pages 11-12. If this procedures document conflicts with aforementioned Agreement, the Agreement shall prevail.

### Timetable

<u>June 1</u>	The Provost and Vice President for Academic Affairs shall notify the School Deans of faculty members in their Schools who are eligible for promotion.
<u>June 15</u>	Candidates eligible for promotion during the upcoming academic year are notified by their School Dean of their eligibility.
<u>September 1</u>	Candidates will notify the School Dean of their intent to be considered for promotion.
<u>September 15</u>	Candidates will deliver a Summary of Professional Activities and other materials needed to document the case for promotion to the School Dean.
<u>October 15</u>	School Tenured Faculty should complete consideration of faculty including submission of faculty letter at least one week before consideration by the Faculty Affairs Committee (FAC) and by October 15, if possible. The Dean's letter must be submitted in the same time frame.

### Candidate's Responsibilities

1. Notify School Dean, in writing, of intent to seek promotion prior to deadline date of September 1.
2. Consult with your School Dean and a senior faculty member for guidance in preparing the Summary of Professional Activities and any other material needed to document your case for promotion. To ensure that all candidates have an equal opportunity to present written materials to the FAC regardless of when their consideration occurs during the year, written materials submitted to the FAC

(e.g., Summary of Professional Activities, Reflective Statements, etc.) may not be modified after September 15. It is essential that candidates solicit colleagues for feedback on materials prior to that date and make any and all desired corrections to materials before that date. During their formal consideration meeting, candidates will have the opportunity to update the FAC orally on changes to their dossier.

3. Prepare and/or update your **Summary of Professional Activities, with dates in chronological order beginning with most recent**, and explanations of specific activities and their relative importance to your professionalism. The Summary of Professional Activities is to include:
  - A. Education and Professional Experience
  - B. Teaching (at UC and other institutions)
  - C. Creative and professional accomplishment activities, including:
    - Whether peer reviewed, juried or invited
    - Audience (national, regional, state, local)
    - List in chronological order beginning with most recent
  - D. Service (to the College and larger community)
  - E. Honors, fellowships, awards, grants, lectureships, etc.
4. Prepare a **Reflective Statement on Teaching**. This statement should include your observations about teaching and learning – what it means to you, how you go about it, how your approach has evolved as your experience has deepened. Please address your role as an academic advisor as a component of teaching effectiveness. The statement should also summarize how the materials presented support (make) the case for promotion with regard to the contract wording for the criterion: Teaching - The candidate should show **excellence and active interest in teaching**. In addition to evaluating class performance, the FAC shall consider, among other things, the faculty member's activities as an academic advisor and work done with students outside the classroom, student surveys and evaluation by colleagues in judging teaching performance, innovation of courses and program, and improvement of existing courses. The FAC may weigh these criteria as it sees fit on a case-by-case basis.
5. Prepare a **Reflective Statement on Professional Accomplishment**. This statement should summarize how the materials presented support (make) the case for promotion and reflect the contract wording for the criterion of professional accomplishment - what it means to you, how you go about it, how your approach has evolved as your experience has deepened. The faculty member should show clear evidence of creative and professional accomplishment in his or her field. Scholarly publication shall be one of several possible measures of professional accomplishment. The FAC shall consider other appropriate creative activity in the faculty member's field.
6. Prepare a **Reflective Statement on Service**. This statement should summarize how the materials presented support (make) the case for promotion and reflect the contract wording for the criterion of service - what it means to you, how your approach has evolved as your experience has deepened. The faculty member

should show clear evidence of meritorious service to the teaching profession, the College, and the community at large. Service in the AAUP-UC and participation in admissions events shall each be recognized as one form of such service.

7. Prepare a **Reflective Statement of Leadership (full professors only)**. This statement should summarize how the materials presented support (make) the case for promotion and reflect the contract wording for the criterion of Leadership – what it means to you, how you go about it, how your approach has evolved as your experience has deepened. For promotion to Professor, the faculty member should have demonstrated one or more forms of leadership, which may be manifested through, for example, achieving distinction or prominence among his or her immediate colleagues or demonstrating initiative among peers at other institutions or within organizations in his or her field of teaching or research.
8. Prepare a **Supplemental File**. Include supporting documents/materials relevant to the case for promotion. This should include all available peer reviews of teaching. Copies of Student Opinionnaires on Teaching are required and will be made available by the School for FAC review.
9. Review your School file to make sure it is complete and ready for submission to the School Dean for the Tenured Faculty and the FAC by **September 15**.
10. Be available for questions (on call) when FAC conducts your promotion consideration. You will be advised as to the date(s) and time(s).

#### **Other Information:**

- Student opinionnaire scores and grade distribution report for the last four years (will be supplied by the School Office.)
- Letter from the School Tenured Faculty summarizing the discussion and vote.
- Letter of recommendation from the School Dean.

#### **School Dean's Responsibilities**

1. Distribute this document and, by doing so, notify faculty members of deadlines for promotion consideration by the Tenured Faculty and the FAC. This is to be done by **June 15**.
2. Provide guidance for each candidate who is eligible for promotion consideration.
3. Schedule Tenured Faculty meetings for consideration of each candidate at least one week prior to scheduled consideration of the candidate by the FAC, preferably by **October 15**.
4. Make Tenured Faculty aware of the availability of the candidate's file and allow sufficient time for review prior to School consideration. Acquire opinionnaire

- scores and peer reviews and make them available to the Tenured Faculty and the candidate.
5. Present all of the candidate's materials to the Tenured Faculty for their consideration at their meeting.
  6. Ensure that all elements of the evaluation criteria are addressed. For example, evaluation of teaching should also include the candidate's activities as an academic advisor and work done with students outside the classroom.
  7. Discuss leadership qualities for Professor consideration.
  8. Lead School discussion and vote on the three or four\* criteria and the overall recommendation for each candidate:
    - A. Excellence and active interest in teaching
    - B. Evidence of creative professional accomplishment/activity
    - C. Meritorious service to the teaching profession, the College, and the community
    - \*D. Leadership qualities for promotion to Professor
    - E. Overall recommendation for promotion
  9. Assure that a Tenured Faculty recommendation is written addressing the criteria described in # 8 above (and on # 7 in the case of the candidate for Professor), on all information presented at the School meeting.
  10. Make the Tenured Faculty aware of the availability of their letter of recommendation in the School office for comments before it is added to the candidate's folder.
  11. Develop an independent School Dean's letter of recommendation addressing the criteria described in # 8 above, based on all the information presented in the candidate's file. This letter should be a candid and original appraisal by the School Dean, not a restatement of the Tenured Faculty recommendation. Letter must be submitted one week prior to candidate's FAC review date.
  12. Upon the completion of the Tenured Faculty deliberations, share the letters of the Tenured Faculty and Dean with the candidate and provide an opportunity to discuss the results.
  13. Deliver the candidate's completed file to the FAC (electronically or on a CD) at least one week prior to the candidate's consideration by the FAC. This includes one hard copy of the following:
    - A. Summary of Professional Activities
    - B. Reflective statements
    - C. Peer evaluations
    - D. Grade Distribution Report
    - E. Student evaluations (opinionnaires) from the previous four years

F. Tenured Faculty's letter of recommendation

G. School Dean's letter of recommendation

Also included should be one copy of the Supplemental File used by the Tenured Faculty in their considerations.

14. Be available for questions (on call) when FAC is considering the candidate.

### **Consideration Procedures of FAC**

1. A positive motion is made to recommend candidates (in order) for consideration for promotion. Discussion follows. The School Dean may be invited in for consultation. The candidate is invited in and is asked to update the committee on any changes since submission of material and is expected to respond to questions. Upon completion of the discussion, a vote is taken by anonymous ballot. A quorum is 6 voting members of 9 total members. Ratio to Pass: 6 of 9, 6 of 8, 5 of 7, or 4 of 6.
2. At the next FAC meeting, the request is made by the Provost/ VPAA or Chair Pro Tem for first reconsideration of the candidate. Reopening of consideration is made if any member requests it. School Deans may be called in for consultation. A second vote is taken using the same procedure and ratio to pass.
3. At end of review of all promotion candidates, the request is made by Provost/VPAA or *Chair pro tem* for a second reconsideration of each candidate. Reopening consideration requires a majority affirmative vote of the members present. If reopened, a third vote is taken using the same ratio to pass.
4. The Provost/VPAA advises the candidate of the recommendation of FAC. If the recommendation is negative (not to recommend promotion), the candidate may request reconsideration to the FAC as stated in the bargaining agreement. The candidate meets with the FAC. If the candidate requests reconsideration the process proceeds as specified in the bargaining agreement. The candidate also has the right to present his/her case with the assistance of a bargaining unit member of choice.
5. The Provost/VPAA conveys the recommendation of FAC to the President with his or her own recommendation.
6. In the event of an irreconcilable disagreement, the recommendations of the FAC and the Provost shall be forwarded to the President for his or her consideration. The decision to grant promotion shall ultimately be the prerogative of the President and the Board of Trustees of the College. A faculty member shall be notified in writing by the Provost of the award or denial of promotion.

## **Other Procedures**

- It is the responsibility of the candidate to provide full documentation to the FAC, and one cannot expect that the FAC will ask for missing information.
- Materials considered by the School and the FAC must be the same to ensure consistency of consideration.
- FAC may send back School recommendations containing too little information relating to their discussion.
- In-class peer evaluations should be conducted on a regular basis to be discussed in School letters to FAC.
- For all negative recommendations on promotion and tenure, FAC will write a letter to the candidate. The purpose of the letter will be constructive in nature, not prescriptive and is intended to assist the candidate in remediating issues that FAC feels weighed against a positive recommendation. The Provost will present the letter to the candidate during their individual meeting. The letter will not be made part of the faculty member's official file.

## **CONFIDENTIALITY STATEMENT**

At its meeting on March 31, 1981 the **Faculty Affairs Committee (FAC)** approved the following statement which has been revised as follows:

An absolutely essential element pertinent to effective operation of the FAC is that its deliberations be conducted and transmitted in the strictest confidence. Any failure to observe confidentiality, particularly with respect to personal and personnel-related matters, undermines the confidence of the College Community in its work. The following guidelines are suggested in the interests of preserving confidentiality:

1. All discussions should be limited to official meetings of the FAC, except as may be necessary with fellow committee members. No discussions of issues and personnel matters should ever be conducted with non-members of the Committee. FAC members discussing matters before the FAC among themselves are responsible for ensuring strict privacy of such discussions.
2. The only reports emanating from the Committee should be those that are officially approved by the full Committee and only the Committee's designated representative, usually the Chair Pro Tem, should report these.
3. Although inappropriate, members of the College Community frequently question progress of the Committee in its work. It is suggested that any responses to such questions be limited to stating the topic area(s) under consideration at that time, i.e., rules and procedures, tenure, promotion, emeritus recommendations, non-reappointments. In no instance should it be necessary to relate the names of persons under consideration or to provide any detail as to actual discussions.

The Committee has found that raising questions with School Deans requiring further information that might be in the interests of a particular candidate, even during the Committee's formal deliberations, can occasion action outside of the Committee which may unduly affect the deliberation process. Accordingly, it is suggested that responsibility for providing full information be placed entirely with the candidate, the Tenured Faculty of the School, and the School Dean, and that the FAC thereafter base its deliberations solely on that material brought to its attention as part of the recommendation process.