

## POLICY ON PROMOTION

This document spells out policies, organizational structures, and procedures for promotions. All procedures and actions at all levels shall conform to University policies and the Unit 3 Collective Bargaining Agreement.

The term "promotion" refers to the advancement of a probationary or tenured faculty member who holds academic or librarian rank to a higher academic or librarian rank or who holds a Student Services Professional - Academically Related (SSP-AR) classification to a higher rank.<sup>1</sup>

"President" refers to the university's President or her/his designee. Unless announced otherwise, the Provost serves as the President's designee for purposes of the Retention, Tenure, and Promotion (RTP) process.

### I. GENERAL POLICY

The period prior to promotion should be one of professional growth and development. The department and the individual faculty member share responsibility to establish clearly the goals for promotion. The faculty member should receive an informal periodic assessment of progress toward the goals as well as collegial guidance, advice, and assistance. This responsibility should be shared with the department chair, mentors, and other colleagues seeking to help the faculty member, and the faculty member seeking promotion to make the period prior to promotion as formative as possible.

Promotion shall be accompanied by salary advancement as specified by the Collective Bargaining Agreement.

Promotion is neither a faculty member's right nor solely a reward for past services and accomplishments. A decision in favor of promotion must be based upon evidence that indicates there is a high probability that the faculty member will assume the increased responsibilities and leadership inherent in the higher ranks.

Probationary faculty normally shall not be promoted during probation. Probationary faculty shall be considered for promotion at the time they are considered for tenure.<sup>2</sup> Under exceptional circumstances, probationary faculty **during their probationary period** may be promoted to the rank of Associate Professor but not to the rank of Professor.<sup>3</sup>

Promotion of a tenured faculty member shall normally be effective at the beginning of the sixth (6th) year after appointment to his/her current rank. In such cases, the performance review shall take place during the year preceding the effective date of the promotion. This provision shall not apply if the faculty member requests in writing that he/she not be considered.<sup>4</sup>

Upon application and with a positive recommendation from the appropriate department or equivalent unit, a tenured faculty member (or one receiving tenure simultaneously) may be considered for promotion to Professor or equivalent rank before having satisfied the service requirements noted above. Current and prospective leave and special assignment do not affect the promotion eligibility of a faculty member.<sup>5</sup>

Promotion shall be effective at the beginning of the academic year succeeding the academic year in which promotion is awarded.

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<sup>1</sup> Hereafter, the use of the terms "Associate Professor" or "Professor" in this policy also refers to the equivalent ranks for Librarians and SSP-ARs.

<sup>2</sup> See CBA Article 14.2.

<sup>3</sup> See CBA Article 14.2.

<sup>4</sup> See CBA Article 14.3.

<sup>5</sup> Promotion eligibility is defined in Article 14 of the Collective Bargaining Agreement.

Timelines for the promotion process shall be announced by the President after consideration of the recommendations, if any, of the appropriate faculty committee(s). Promotion applications shall not normally be accepted after the announced timeline for applications.<sup>6</sup>

## II. CRITERIA FOR PROMOTION

- A. Terminal degree requirements are considered to have been met by virtue of the appointment to a probationary/tenured position.
- B. A positive recommendation for promotion shall be based solely upon a positive assessment of the overall quality of performance and achievement in the Scholarship of Teaching; the Scholarship of Discovery, Application, and Integration; and in University and Community Service as described below; including an established pattern of productive working relationships with peers and colleagues as demonstrated through the evidence presented in the candidate's **Working Personnel Action File (WPAF)** ~~Retention, Tenure and Promotion (RTP) File~~.<sup>7</sup> Only achievements while a probationary ~~or tenured~~ faculty member at this university shall be considered for promotion **to Associate Professor**. **For promotion to the rank of Professor**, primary consideration will be given to performance since the initial appointment or last promotion at this University.
- C. The responsibilities of all full-time faculty members include effective teaching; professional, scholarly, and creative activities; and university and public service.<sup>8</sup> A strong record of effectiveness in the Scholarship of Teaching is essential criterion for promotion, but is not sufficient in and of itself. Professional growth and scholarly/creative activities are also important. Achievement in University and public service, while not a substitute for achievements in teaching effectiveness or professional growth and scholarly/creative activities, is considered essential in evaluating a candidate's overall qualifications for promotion.
- D. Documentation of the scholarly activities of teaching, application, integration, and discovery and university and public service should be rich and varied. It should consist of evidence gathered over time from a variety of sources, namely, self-evaluation, peer evaluation, student ratings, and other evaluation. Assessment of scholarly activities should be relevant to and fit the faculty member's field of expertise. The responsibility for documenting performance in these areas resides with the faculty member.

### 1. **Teaching Effectiveness**<sup>9</sup>

The Scholarship of Teaching (teaching effectiveness) is an essential precondition for promotion. Teaching is considered to be a "scholarly act" that includes the clear communication of knowledge of the discipline and subject matter and the transformation and extension of that knowledge.

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<sup>6</sup> CBA Article 14.5.

<sup>7</sup> Allegations of non-collegial working relationships by reviewers must be supported by documentation in the **WPAF RTP File**.

<sup>8</sup> See Article 20 of the CBA. For faculty without teaching responsibilities, professional effectiveness in assigned responsibilities is substituted for teaching.

<sup>9</sup> Non-instructional faculty such as librarians and SSP-ARS shall substitute professional effectiveness in their assigned responsibilities for the scholarship of teaching. Strong evidence of professional effectiveness is a precondition for tenure for faculty without instructional responsibilities. It is expected that faculty with non-instructional responsibilities will demonstrate professional competence and effectiveness, including demonstration of the skills necessary to perform assigned responsibilities throughout the probationary period. A careful assessment will be made of the performance of assigned responsibilities including quality of work, soundness of judgment, willingness to initiate and complete projects, and effectiveness of professional interactions with faculty and students.

It is expected that the faculty member will continually improve his/her understanding of student learning, increase her/his knowledge of pedagogy, and strengthen teaching skills throughout the probationary period and will demonstrate both the accomplishment of clear, precise communication in teaching as well as the application of that knowledge.

The "scholarly act of teaching" is demonstrated through understanding and current knowledge, including the use of measures of student learning, in such activities as:<sup>10</sup>

- a. clearly defined student learning objectives
- b. appropriate learning exercises
- c. prepared exercise packets
- d. samples of student exams and essays
- e. designed course materials
- f. creation of course software
- g. published research in teaching and learning
- h. teaching portfolio analysis
- i. experiential learning, such as service-learning.

Faculty are expected to participate in conferences, seminars, and workshops that enhance effectiveness in the scholarly act of teaching<sup>11</sup> for the purpose of:

- a. Acquiring theoretical and empirical research based knowledge about effective learning and teaching;
- b. Reflecting upon and practicing such knowledge in the educational setting; and
- c. Demonstrating the transformational effect from experience in utilizing various pedagogies.

Teaching is a scholarly endeavor demonstrated and assessed in accordance with APM 322, Policy on Assessment of Teaching Effectiveness. Additional requirements shall include: course syllabi and content, clearly defined learning objectives, samples of exams, learning exercises, handouts, classroom research activities, writing requirements including student exams and essays, and teaching portfolios.

Constructive and professional relationships with students are important for a strong academic program. Therefore, it is expected that the faculty member will be evaluated for demonstrated sound academic advising, effective counseling of students on course related matters, the ability to work with a diverse student population, and availability of the faculty member on a regular basis to assist students with their academic needs.

## 2. **Professional Growth and Scholarly/Creative Activities**

All faculty members are expected to engage in a demanding program of professional development and scholarly/creative activities.<sup>12</sup>

- a. As a teacher-scholar, strengthening and updating professional expertise for classroom instruction (Scholarship of Teaching);
- b. As a scholar, strengthening and broadening the faculty member's scholarly and academic credentials (Scholarship of Discovery);
- c. As a practitioner, engaging in both theory and application (Scholarship of

<sup>10</sup> From the list, faculty members are expected to accomplish only those items that are appropriate to their discipline.

<sup>11</sup> Faculty are encouraged to attend events such as those sponsored by the Center for the Scholarly Advancement of Learning and Teaching (CSALT) to strengthen and update their professional expertise in classroom instruction.

<sup>12</sup> From the lists given, faculty members are expected to accomplish only those items that are appropriate to their discipline.

Application); and

- d. As an integrated scholar, placing specialties in a broader context (Scholarship of Integration).

The Scholarship of Discovery is documented through critically evaluated and professionally recognized activities such as:

- a. Journal articles
- b. Monographs
- c. Proceedings
- d. Poems
- e. Stories
- f. Artistic creations
- g. Awarded grants and evidence of subsequent work
- h. Public performances
- i. Published books
- j. Public presentations.

The Scholarship of Application is documented by using knowledge to address demanding, substantive human problems such as:

- a. Conducting applied research and evaluation;
- b. Providing technical assistance;
- c. Developing new products, practices, clinical procedures, new artistic works, consultation with community organizations;
- d. Performing clinical service;
- e. Promoting experiential learning and professional development;
- f. Engaging in community-based research.

The Scholarship of Integration is documented by making connections across disciplines through such activities as:

- a. Designing new courses;
- b. Writing textbooks;
- c. Developing videocassettes and television programs;
- d. Writing for non-specialists;
- e. Sponsoring colloquia and forums;
- f. Shaping a core curriculum;
- g. Preparing quality computer software;
- h. Integrating professional experiences in classrooms;
- i. Writing critical review articles.

The faculty member is expected to engage the scholarship of discovery, integration or application or a combination thereof appropriate to their discipline. These activities will be demonstrated through documented scholarly research activities, refereed or juried publications, public performances and exhibits, and presentations; participation in professional conferences, workshops, or seminars; activities leading to the improvement of teaching skills such as the development of innovative courseware; service learning; the development of new products; the developing new clinical procedures; grant and contract activity; participation in professional organizations; post-doctoral studies; and other creative/ scholarly activities.

### 3. **University and Public Service**

Commensurate with rank, faculty members are expected to participate productively, collegially, and collaboratively in the collective efforts and functions of the department, college/school, university and, on occasion, the CSU.

It is expected that the faculty member will demonstrate university and community service through such activities as:<sup>13</sup>

- a. Participation on department, college/school and/or university committees and commissions, including participation on the academic senate;
- b. Service to the university, profession and community;
- c. Working collaboratively and productively with colleagues;
- d. Mentoring colleagues;
- e. Participation in traditional academic functions such as convocation and commencement activities, student outreach activities, etc;
- f. Participation in group projects directed toward department, college/school and university goals;
- g. Contributions to the community-at-large such as organizational leadership and presentations, as well as other relevant participation in groups serving the public interest. Community service contributions that relate directly to one's discipline or position will be given greater weight.

### **III. ADDITIONAL CRITERIA FOR PROMOTION TO FULL PROFESSOR (OR EQUIVALENT)**

Full Professors play a critical role in determining the University's intellectual quality. Therefore, it is incumbent upon those seeking the highest academic faculty rank to present a record of accomplishment commensurate with senior status in the discipline and in the University. This means, in general, that since appointment to the rank of Associate Professor, the faculty member's teaching, scholarship, and service should grow in importance and impact, not merely maintaining the productivity and quality that characterized her/his probationary work, but also achieving broadly-recognized, well-established distinction in his/her discipline.

#### **A. General Requirements**

Prior promotion to the rank of Associate Professor does not necessarily imply eventual promotion to Professor, nor should length of service, by itself, produce such an expectation. Probationary faculty normally shall not be promoted to the rank of Professor. Normally, a faculty member is eligible to be considered for Promotion in the fifth year following promotion to Associate Professor (with the promotion becoming effective at the start of the sixth year). Any deviation from this five-year period would be considered an "early" consideration, as described in Section IV below. The period of review shall be the period since the faculty member's last promotion or, in the case of those with an initial appointment at the Associate Professor rank, the period from initial appointment on this campus. However, in order to assess the growth in "importance and impact" mandated above, a comprehensive vita should be included in the WPAF to fully document the candidate's entire academic career.

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<sup>13</sup> This list is derived from faculty responsibilities described in Article 20 of the Collective Bargaining Agreement .

### **B. Teaching Effectiveness<sup>14</sup>**

Teaching is the most important responsibility faculty members have. Promotion to Professor requires that the candidate demonstrate a sustained pattern of excellent teaching, supported by student ratings and peer evaluations. The successful candidate for promotion will also provide evidence that his/her teaching has matured and improved over the course of her/his academic career.

### **C. Research, Scholarship, & Creative Activity**

Candidates for promotion to Professor must show growth and sustained achievement as scholars, and present evidence of substantial activity in, and contributions to, the discipline. This expectation could be met, in part, by demonstrated leadership in their professional communities—but leadership alone cannot serve as the sole substitute for the significant research, scholarship, or artistic productivity that defines distinction in the discipline.

### **D. University & Public Service**

Senior faculty seeking promotion to Professor should show substantial evidence of increasing leadership responsibilities at both the department and college/school levels. Significant university-wide service is also expected, though equivalent community service may be considered an acceptable alternative. As with other expected accomplishments in this policy, the standards for promotion will be sustained activity and quality contributions that have received appropriate recognition.<sup>15</sup>

## **III-IV. CONSIDERATION FOR EARLY PROMOTION**

The following process and criteria must be met before early promotion is granted.

### **A. Procedure**

An individual consultation with the Provost must take place prior to consideration for early promotion. A faculty member seeking early promotion shall provide the Provost with a letter outlining his/her accomplishments. This letter shall be sent to the Provost two weeks prior to the scheduled consultation. ~~An RTP File~~ The WPAF is not to be submitted at this time. Encouragement from the Provost to consider applying for early promotion does not guarantee that early promotion will be awarded.

### **B. Criteria for Early Promotion**

Faculty members seeking early promotion must provide evidence of sustained excellent performance in all three areas: Scholarship of Teaching; the Scholarship of Discovery/Application/Integration; and university and public service as described above.<sup>16</sup> In order to meet this standard, it is expected that the documented performance must demonstrate sustained excellence in all three categories and distinguish the faculty member from successful candidates who applied for promotion during the normal time-in-rank review cycle.

#### **1. Teaching Effectiveness**

<sup>14</sup> Non-instructional faculty such as librarians and SSP-ARS shall substitute professional effectiveness in their assigned responsibilities for the scholarship of teaching. Strong evidence of professional effectiveness is a precondition for promotion of faculty without instructional responsibilities. It is expected that faculty with non-instructional responsibilities will demonstrate professional competence and effectiveness, including demonstration of the skills necessary to perform assigned responsibilities since the last promotion. A careful assessment will be made of the performance of assigned responsibilities including quality of work, soundness of judgment, willingness to initiate and complete projects, and effectiveness of professional interactions with faculty and students.

<sup>15</sup> As provided for in Article 15.12(d) of the CBA, one method a candidate may employ to establish recognition beyond the confines of the campus could be the use of an external reviewer. Nothing in this policy should be construed as precluding or prohibiting external review as part of this evaluation process.

<sup>16</sup> Completion of the probationary plan at an early date is not a sufficient basis for early promotion.

The faculty member must demonstrate a sustained pattern of teaching excellence as described in Section II above for the period since the last promotion.

Excellence in the Scholarship of Teaching shall be demonstrated through outstanding student ratings, outstanding peer evaluations, receipt of outstanding teaching awards, national or regional recognition for outstanding teaching or other applicable evidence the candidate can provide that the President deems acceptable (e.g. students the faculty member has mentored receiving meritorious recognition for art work, research and/or publications).

## 2. **Professional Development and Scholarly/Creative Activities**

The faculty member must demonstrate a sustained pattern of excellence in the Scholarship of Application/Integration/Discovery as described in Section II above.

## 3. **University and Public Service**

The faculty member must demonstrate a sustained pattern of excellence in university and public service as described in Section II above.

# **IV. V. PROCEDURES<sup>17</sup>**

Responsibilities of departments and department chairs shall be fulfilled by programs and program coordinators when so authorized by the President.

## **A. General Procedures Applicable to the Entire Process.**

Academic Personnel Services will provide instructions and forms for the preparation of the **WPAF RTP File** and for the preparation of recommendations on its website.

The President will issue, as part of the Academic Personnel Calendar, the deadline dates for each step in the **RTP promotion** process.

1. The candidate, the chair of the peer review committee at each level, department chair, and the appropriate administrators are responsible to assure that the procedures and established timelines are followed.
2. All deliberations of consultative bodies on individual personnel cases shall be conducted in executive session and remain confidential as provided by law. **Violations of this confidentiality will be considered unprofessional conduct and grounds for disciplinary action.**<sup>18</sup>
3. Only individuals authorized by University policy to discuss clarifications of evidence or recommendations with higher level committees or appropriate administrators may do so. Such discussions shall only occur in the presence of the assembled peer review committee or appropriate administrator. Such discussions shall only occur at the request of a peer review committee or appropriate administrator. **Discussion of personnel cases outside of the committee setting is prohibited.**
4. All committees designated to make recommendations in the **RTP promotion** process must be elected. Vacancies can only be filled by election. Substitution of elected members by proxies is prohibited.
5. Each peer review committee recommendation shall be approved by a simple majority of

<sup>17</sup> Procedures for Librarians: The procedures outlined in the Library's Articles of Governance shall be used in place of Section IV.D. and IV.E. Procedures for Counselors: The procedures outlined in the Counseling Area's Articles of Governance shall be used in place of Section IV.D. and IV.E.

<sup>18</sup> It is not a violation of this confidentiality to report to appropriate administrators (i.e. the dean or the Associate Vice President for Academic Personnel) any inappropriate conduct that may have occurred.

- the membership of that committee present and voting.<sup>19</sup>
6. Voting by proxy or by absentee ballot is prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.
  7. The faculty member is responsible for placing materials in the **WPAF RTP File** to document individual achievement in each category to be reviewed. The faculty member is also responsible for providing a completed and signed application form and an updated vita.
  8. Because the dean is the custodian of the **Personnel Action File (PAF)** ~~Open Personnel File (OPF)~~, it is the dean's responsibility to ensure that the following information is placed in the candidate's **WPAF RTP File**:
    - (a) The Access Log and Check Sheet;
    - (b) The Promotion Form as prepared and completed by the department peer review committee;
    - (c) Numerical data on student ratings including departmental and, if available, college/school norms;
    - (d) A copy of the student ratings instrument used by the department or college/school;
    - (e) All peer evaluations (in reverse chronological order);
    - (f) Any letters and/or other written comments which have been signed and included in the ~~Open Personnel File~~ **PAF** from students, colleagues, or other individuals regarding a faculty member's performance in any category to be used as evidence in the review process; and
    - (g) All previous Promotion Forms including written reasons (in reverse chronological order).<sup>20</sup>
    - (h) The President's final decision letter on any previous application for promotion that was denied.
  9. A faculty member has the right to place any information into the **WPAF RTP File** that s/he feels is pertinent to the evaluation process. Primary consideration will be given to performance since the initial appointment or last promotion at this University.
  10. After the established deadline(s) set by the President each year, materials may not be added to the **WPAF RTP File** unless: (a) the material was not accessible prior to the deadline, and (b) the appropriate level of review at the time of the written request approves the addition of these materials to the File. This provision does not affect requests for additional information or clarification from committees or administrators, recommendations, reasons, responses, etc. placed in the **WPAF RTP File** pursuant to university procedures in the normal course of the **RTP promotion** process.<sup>21</sup>
  11. **Recommendations on promotion shall be based solely upon the contents of the candidate's RTP File.** Should the President make a decision on any basis not directly related to the professional qualifications, work performance, or personal attributes of the

<sup>19</sup> If there is a tie vote, the **WPAF RTP File** shall go forward without a recommendation from the peer review committee. (See CBA 15.42-43)

<sup>20</sup> This provision applies only if the faculty member has previously applied for and been denied promotion to the rank for which s/he is currently being considered.

<sup>21</sup> See Article 15.12 of the CBA.



person in question, those reasons shall be stated in writing and entered into the ~~Open Personnel File~~ **PAF** and shall be immediately provided to the faculty member.

12. Academic Personnel Services should provide a training workshop each year on ~~retention and tenure~~ **promotion** policies and practices.
13. A faculty member may participate on a peer review committee **only at one level of review**. That is, a faculty member may not attend meetings at more than one level where recommendations for retention and tenure and/or promotion are discussed. Peer evaluations, assessments of publications and committee work, etc. and other forms of evaluation (resulting in written reports at the department level) do not constitute "participation."
14. No faculty member being considered for promotion may serve on any retention, tenure, or promotion peer review committees.<sup>22</sup>
15. Department chairs who have not received tenure may not make recommendations in the RTP **promotion** process.
16. At all levels of review, before recommendations are forwarded to a subsequent review level, the faculty member shall be given a copy of the Promotion Form and the reasons for the recommendation on the deadline date published by Academic Personnel Services, a date five (5) days prior to these materials being placed in the **WPAF RTP File**.<sup>23</sup> The faculty member may, at his/her discretion, request a meeting with the person or group making the recommendation within five (5) days of this notification. Such a meeting must take place within ten (10) days of this request. However, the faculty member's right to submit a written rebuttal must be executed within the ten (10) day period stipulated by the Unit 3 Collective Bargaining Agreement. A copy of the response or rebuttal statement shall accompany the **WPAF RTP file** and also be sent to all previous levels of review. This provision shall not require that evaluation timelines be extended.
17. The appropriate sections of the Promotion Form and the accompanying reasons shall be prepared by the chair of the peer review committee at each level. **Under no circumstances is the candidate for promotion to be involved in the preparation of the Promotion Form.**
18. The recommendation and written explanation of the reasons for it, and all rebuttals and responses, if any, shall become part of the **WPAF RTP File** on the date indicated above.
19. The faculty member is provided with the recommendation and reasons for two purposes: (a) to facilitate the faculty member's professional growth and development especially where shortcomings are identified; and (b) to enable the faculty member to respond to a recommendation.
20. An individual faculty member may only have access to his/her own **PAF or WPAF**. ~~Open Personnel/RTP File~~.

#### **B. Reasons for Recommendations**

The burden of proof for promotion rests with the faculty member's record of achievement. It is also understood that reasonable people may disagree in the evaluation of evidence. Further, scholars in a particular field or activity have the chief competence for judging the

<sup>22</sup> A department chair may not make a separate recommendation if he/she is being reviewed for promotion during the same academic year.

<sup>23</sup> The deadline dates in the calendar of faculty personnel actions published by APS are to be interpreted literally as the day on which an action is intended to transpire. For example, the specific date assigned to the department committee is the day on which the Promotion Form and its accompanying recommendations/reasons are to be finished and the date on which a copy of these materials is to be given to the candidate.

work of their colleagues. The promotion process requires that the judgment of the University, through its peer review committees and administrators, be made with full and careful consideration of this peer judgment and be consistent with academic freedom and standards of fairness and due process.

Faculty assessment should be flexible, recognizing the mission of the university, the priorities of departments, the strengths of individuals, and the uniqueness of the disciplines. In evaluating the faculty member's performance, committees and appropriate administrators shall exercise reasonable flexibility, balancing, where the case requires, heavier commitments and responsibilities in one area with lesser accomplishments in another. The committees and appropriate administrators must judge whether the faculty member is engaging in activities that are sound and productive and contributing to the mission of the university. All evaluations of performance shall be based on documented patterns of performance.

**C. Timelines**

1. If any stage of the evaluation/recommendation process is not completed within the time specified in the administrative calendar, the file shall be automatically transferred to the next level of review and the faculty member shall be so notified. **In such cases, the level that failed to make the recommendation in accordance with the timeline shall make no recommendation at all.**
2. At the beginning of each academic year, deadlines for the completion of **WPAFs RTP Files** and timelines for recommendations shall be published through the Academic Personnel Calendar.
3. The President shall notify a faculty member being considered for promotion of the promotion decision prior to the end of the academic year but no later than June 15.
4. No person shall be deemed to have been promoted because notice was not given or received by the time prescribed. It is the responsibility of the faculty member concerned to make inquiry to determine the decision of the President, who shall give notice without delay.

**D. Department Level<sup>24</sup>**

1. Departments have the primary responsibility to state, in writing, and in detail, the reasons for their recommendations. The department is responsible for preparing a complete description and analysis of the factors significant in the departmental evaluation consistent with the criteria previously described.
2. The probationary and tenured faculty of the department shall elect a department peer review committee (or a separate committee for each candidate) of tenured full-time faculty members. The department, if so desired, may function as a committee of the whole; that is, **subsequent to a departmental election**, the department peer review committee may consist of all eligible tenured full-time faculty in the department. In either event, the recommendations of the peer review committee(s) are the recommendations of the department.
3. Each peer review committee's independent recommendation shall be approved by a simple majority of the membership of that committee and shall be based solely on information and documentation in the **WPAF RTP File**. A meeting(s) of the department peer review committee which includes confidential, careful, thorough deliberations leading to a vote is the required process for arriving at a recommendation.

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<sup>24</sup> Includes programs designated by the Provost. Solely for the purpose of this policy, Librarians and Counselors (SSP-ARs) will only have departmental peer review committees.

4. Department chairs may decide to submit an independent recommendation or to participate as a member of the department peer review committee.<sup>25</sup> The department chair shall make known her/his decision, in writing to the probationary and tenured faculty in the department, after consultation with the probationary and tenured faculty of the department and prior to the date beginning the campus RTP promotion process. A copy of the notification shall be placed in the WPAF RTP File. The chair shall apply this decision to all RTP promotion candidates in that academic year. If the department chair makes an independent recommendation, s/he shall not participate in deliberations or attend meetings of the departmental peer review committee. If the chair does not make an independent recommendation, s/he may participate as a member of the department peer review committee.
5. The department peer review committee and the department chair (if making independent recommendations) shall indicate their recommendations and the vote for the recommendations on the Promotion Form. The reasons for the recommendation shall be attached to the Promotion Form.
6. There shall be no meetings between the department peer review committee and the department chair, if the department chair is making a separate recommendation.
7. Voting by proxy and/or absentee ballot is prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.
8. The department chair shall forward the WPAF RTP File including the recommendations of the department peer review committee and, the department chair (if separate) to the college/school dean by the deadline specified in the academic personnel calendar.

**E. College/School Level**<sup>26</sup>

1. The dean shall transmit copies of all department and department chair evaluations/recommendations and supporting materials to the appropriate college/school peer review committee. This committee shall be established and shall function according to written college/school procedures and guidelines. The college/school peer review committee shall be elected by the probationary and tenured faculty in the college/school. Only full-time tenured faculty at the rank of Professor may serve on the college/school peer review committee.
2. The procedures used in the college/school shall be made available to all members of the college/school and to the University Board on Retention, Tenure and Promotion. These college/school procedures shall make available to each faculty member being reviewed for promotion a means to respond to or appeal the recommendation of the department peer review committee and/or chair.
3. The college/school peer review committee shall examine the evaluations and recommendations of the department peer review committee and the department chair and shall make a thorough evaluation of the documentation for each faculty member being reviewed for promotion. The college/school peer review committee shall make an independent recommendation which shall include the reasons for the recommendation of the college/school committee.
4. In the event that a faculty member is not recommended for promotion by the department peer review committee and/or the department chair, the faculty member shall have the

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<sup>25</sup> CBA Article 15.37. Department or college/school procedures may not limit the discretion of the department chair in this matter.

<sup>26</sup> Solely for the purposes of this policy, Librarians and SSP-ARs do not have separate college/school peer review committees. For SSP-ARs, the Vice President for Student Affairs (or MPP designee) shall serve as the equivalent of the college/school dean, as that function is described in this section.

right to make a separate appearance before the college/school peer review committee and the dean to present his/her case prior to those levels formulating their recommendations. Both the peer review committee and the dean must allow presentations of at least thirty (30) minutes in separate meetings. **Discussions must be limited to information and documentation in the WPAF RTP File.**

5. The college/school peer review committee's recommendations shall be approved by a simple majority of the membership of the committee. **These recommendations shall be based solely upon the information and documentation in the WPAF RTP File.** Votes by proxy and/or absentee voting are prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.
6. Upon independent review of the department peer review committee and department chair recommendations and ~~WPAFs RTP files~~, the college/school dean shall make a written independent recommendation concerning promotion based solely on information and documentation in the ~~WPAF RTP File~~. The recommendation shall include reasons for the action.
7. The college/school peer review committee may request clarifications of either recommendations or evidence in the ~~WPAF RTP File~~. All requests for clarification shall be in writing.
8. The dean may request clarification of either recommendations or evidence in the ~~WPAF RTP File~~. All requests for clarification shall be in writing.
9. All evaluations and recommendations from the department peer review committee, the department chair, the college/school peer review committee, and the dean shall be transmitted by the dean to Academic Personnel Services by the date specified in the Academic Personnel Calendar. Academic Personnel Services shall forward to the University Board on Retention, Tenure and Promotion all ~~WPAFs RTP Files~~ in which a recommendation to deny promotion or there is the absence of a recommendation at any level. All other ~~WPAFs RTP Files~~ shall proceed directly to the President for final review and decision.

**F. University Level**

1. The University Board on Retention, Tenure and Promotion (UBRTP) shall examine the evaluations and recommendations of the department and college/school levels for ~~WPAFs RTP Files~~ in which any level has made a recommendation to deny promotion or there is the absence of a recommendation, and shall make a thorough evaluation of the documentation for each such faculty member. The Board shall make independent recommendations directly to the President. **These recommendations shall be based solely on information and documentation in the WPAF RTP File.**
2. UBRTP is a Subcommittee of the Personnel Committee of the Academic Senate. It shall consist of nine (9) full-time tenured members with the rank of Professor or equivalent who do not occupy a position of department chair or above, elected from the faculty. The election shall follow the procedures for the election of Senators in the Bylaws of the Academic Senate, including the requirement that the nominee meets the eligibility requirements for UBRTP and agrees that s/he will serve if elected. UBRTP members may not serve simultaneously on the Personnel Committee of the Academic Senate or a department or college/school level peer review committee that makes recommendations on retention, tenure or promotion. No more than one (1) UBRTP member may be from any one (1) college/school. Solely for the purpose of constituting membership on UBRTP, Unit 3 Librarians and Counselors shall together constitute a single college/school. UBRTP members shall serve three-year overlapping terms.

3. All deliberations of the Board shall be conducted in executive session. All meetings of the Board may be conducted if a simple majority of the Board's members is present. The Board's recommendations shall be approved by a simple majority of the membership of the Board. Voting by proxy and/or absentee ballot is prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.
4. The faculty member under review shall have the right to make an appearance before the University Board on Retention, Tenure and Promotion to present his/her case prior to the Board's formulation of its recommendation. The Board must allow presentations of at least thirty (30) minutes. **Discussions must be limited to information and documentation in the ~~WPAF RTP File~~.**
5. UB RTP may request clarifications of either recommendations or evidence in the ~~WPAF RTP File~~. All requests for clarification shall be in writing.
6. The Board shall forward recommendations from all levels to the President. Faculty members shall be notified in writing of the Board's recommendations and the reasons for the recommendation by the date specified in the Academic Personnel Calendar. A copy of the recommendation shall also be sent to the department chair, the chair of the department peer review committee, the dean, and the chair of the college/school peer review committee.

**G. President's Decision**<sup>27</sup>

1. In the event that a faculty member has not been recommended for promotion by the department peer review committee, the department chair, the college/school peer review committee, the dean, or the University Board on Retention, Tenure and Promotion, the faculty member shall have the right to make an appearance before the President to present his/her case prior to the President issuing his/her decision. The President must allow a presentation of at least thirty (30) minutes. **Discussions must be limited to information and documentation in the ~~WPAF RTP File~~.**
2. The President shall review and consider the recommendations for promotion, the ~~WPAF RTP File~~, and written rebuttals (if any).
3. The President may request clarifications of either recommendations or evidence in the ~~WPAF RTP File~~. All requests for clarification shall be in writing.
4. The President shall make a final, independent decision on each promotion recommendation and shall notify each faculty member under review in writing,<sup>28</sup> of that decision and of the reasons for the decision by the date specified by the Collective Bargaining Agreement.<sup>29</sup>

**REFERENCES:** CBA Articles 11, 14, 15, 16, 20, 27, 28, 29, 31  
 Final Report of the Faculty Scholar Blue Ribbon Committee (APM)  
 Policy on the Assessment of Teaching Effectiveness (APM)

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Approved by the President	June, 1975 (Interim)
Recommended by the Academic Senate	March, 1977

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<sup>27</sup> Unless announced otherwise, the Provost makes the final decision as the President's designee.

<sup>28</sup> Notice of the President's decision is mailed to the home address of the faculty member return receipt requested. The university cannot mail letters return receipt requested to post boxes.

<sup>29</sup> No person shall be deemed to have been promoted because notice was not given or received by the time prescribed. It is the responsibility of the faculty member concerned to make inquiry to determine the decision of the President, who shall give notice without delay.

Approved by the President  
Amended

June, 1977  
4/83; 10/84; 6/86; 10/86; 5/87; 6/88; 10/89; 4/93; 5/94;  
11/95; 11/99; 11/00; October 14, 2003, May 4, 2007

Last Approved by the President  
**Latest Amendments:**

July 15, 2011  
**March 1, 2012**