**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.[[1]](#footnote-1)

“President” refers to the university’s President or their designee. Unless announced otherwise, the Provost serves as the President’s designee for purposes of the Retention, Tenure, and Promotion (RTP) process.

1. **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 thatindicates 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.[[2]](#footnote-2) 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.[[3]](#footnote-3)

Promotion of a tenured faculty member shall normally be effective at the beginning of the sixth (6th) year after appointment to their 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 they not be considered.[[4]](#footnote-4)

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.[[5]](#footnote-5)

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

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. [[6]](#footnote-6)

1. **CRITERIA FOR PROMOTION**
	1. Terminal degree requirements are considered to have been met by virtue of the appointment to a probationary/tenured position.
	2. 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).[[7]](#footnote-7) Only achievements while a probationary 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 previous successful promotion application at this University.
	3. The responsibilities of all full-time faculty members include effective teaching; professional, scholarly, and creative activities; and university and public service.[[8]](#footnote-8) 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.
	4. 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 [[9]](#footnote-9)**

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.

It is expected that the faculty member will continually improve their understanding of student learning, increase their 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:[[10]](#footnote-10)

* 1. clearly defined student learning objectives
	2. appropriate learning exercises
	3. prepared exercise packets
	4. samples of student exams and essays
	5. designed course materials
	6. creation of course software
	7. published research in teaching and learning
	8. teaching portfolio analysis
	9. 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[[11]](#footnote-11) for the purpose of:

1. Acquiring theoretical and empirical research-based knowledge about effective learning and teaching;
2. Reflecting upon and practicing such knowledge in the educational setting; and
3. 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.

* + - 1. **Professional Growth and Scholarly/Creative Activities**

All faculty members are expected to engage in a demanding program of professional development and scholarly/creative activities. [[12]](#footnote-12)

1. As a teacher-scholar, strengthening and updating professional expertise for classroom instruction (Scholarship of Teaching);
2. As a scholar, strengthening and broadening the faculty member's scholarly and academic credentials (Scholarship of Discovery);
3. As a practitioner, engaging in both theory and application (Scholarship of Application); and
4. 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:

1. Journal articles
2. Monographs
3. Proceedings
4. Poems
5. Stories
6. Artistic creations
7. Awarded grants and evidence of subsequent work
8. Public performances
9. Published books
10. Public scholarship, including presentations.

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

1. Conducting applied research and evaluation;
2. Providing technical assistance;
3. Developing new products, practices, clinical procedures, new artistic works, consultation with community organizations;
4. Performing clinical service;
5. Promoting experiential learning and professional development;
6. Engaging in community-based research.

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

1. Designing new courses;
2. Writing textbooks;
3. Developing videocassettes and television programs;
4. Writing for non-specialists;
5. Sponsoring colloquia and forums;
6. Shaping a core curriculum;
7. Preparing quality computer software;
8. Integrating professional experiences in classrooms;
9. 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.

No work presented at a deceptive conference or published in a deceptive journal shall count towards satisfying this requirement. Deceptive (formerly known as predatory) conference or journal is a conference or journal that “prioritize[s] self-interest at the expense of scholarship and [is] characterized by false or misleading information, deviation from best editorial and publication practices, a lack of transparency, and/or the use of aggressive and indiscriminate solicitation practices.” (Grudniewicz et al., 2019) The Library can provide guidance in identifying such conferences and journals.

* + - 1. **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:[[13]](#footnote-13)

1. Participation on department, college/school and/or university committees and commissions, including participation on the academic senate;
2. Service to the university, profession and community;
3. Working collaboratively and productively with colleagues;
4. Mentoring colleagues;
5. Participation in traditional academic functions such as convocation and commencement activities, student outreach activities, etc.;
6. Participation in group projects directed toward department, college/school and university goals;
7. 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.
8. **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 the faculty member’s teaching, scholarship, and service should demonstrate well-established distinction in their discipline.

1. **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 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). Anything less than this five-year period would be considered an “early” consideration, as described in Section IV.C 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. [[14]](#footnote-14)The candidate’s cumulative contributions to the university and the profession from the time of their previous successful promotion application [[15]](#footnote-15) will be considered in order to assess contributions to the discipline. A comprehensive vita must be included in the WPAF to fully document the candidate’s entire academic career.

1. **Standards for Promotion to Full Professor**

The University expects that tenured faculty will continue to strive for excellence in teaching, scholarly and creative activity, and service. Promotion to Full Professor requires that the tenured faculty member has displayed achievements commensurate with criteria established by their department.

Because scholars in a particular field or activity have the chief competence for assessing the work of their colleagues, as well as discerning what constitutes senior status and well-established distinction in a candidate’s particular discipline or area, each University department [[16]](#footnote-16) is tasked with collaboratively writing and maintaining standards for teaching, scholarly and creative activity, and service. [[17]](#footnote-17) For each of these three areas, departments will generate standards for what constitutes Inadequate, Satisfactory, and Exceptional accomplishment vis-à-vis the rank of Full Professor. Quantitative targets will be provided by departments wherever possible. In contexts where non-instructional faculty are being evaluated for promotion to Full, professional effectiveness will be substituted for the scholarship of teaching.

* 1. Department standards are to be used for making recommendations on promotion to the rank of Full professor. The probationary plan is used to make recommendations on promotion to the rank of Associate professor (see APM 324).
	2. Department standards are to be discussed, written, and voted on by all tenure-track and tenured faculty in the department. Departments cannot dictate one area (e.g., teaching, research & scholarly/creative activity, or service) as being of greater weight than the others. Guidelines, exemplars, and templates will be disseminated by the Office of Faculty Affairs. Departments may consult with interdepartmental colleagues and administrators in drafting standards if they choose to do so.
	3. Department standards must be submitted to and approved by the College Personnel Committee and Provost in order to ensure equity among departments and maintain alignment with policy.
	4. Departments must revisit their standards every five years and decide whether and how to revise them. (Departments may revisit and revise their standards before the five-year mark.) Revisions to department standards must follow the same process outlined above (including faculty vote) prior to being submitted to the College Personnel Committee and Office of the Provost for reapproval and adoption. New standards will go into effect at the beginning of the next academic year after reapproval. [[18]](#footnote-18)
1. **Teaching Effectiveness** [[19]](#footnote-19)

Teaching is the most important responsibility faculty members have. Promotion to Professor requires that the candidate demonstrates a consistent pattern of quality teaching, as defined by department standards, sustained pattern of excellent teaching, supported by peer evaluations, student ratings, and a teaching portfolio.

Based on standards set by the department for promotion to the rank of Full, the candidate’s teaching will be rated as Inadequate, Satisfactory, or Exceptional, with justification provided for the rating. A department’s definition of Satisfactory cannot be lower than the department’s baseline requirements in the most current probationary plan.

1. **Research, Scholarship, & Creative Activity (RSCA)**

Candidates for promotion to Professor must demonstrate achievement and substantial activity in, and contributions to, the discipline. The successful candidate will have a proven program of RSCA that exhibits high-quality contributions to their disciplinary or interdisciplinary areas of study. The candidate is expected to have disseminated a substantial body of work, as determined by their department’s standards.

Based on standards set by the department for promotion to the rank of Full, the candidate’s research, scholarship & creative activity will be rated as Inadequate, Satisfactory, or Exceptional, with justification provided for the rating. A department’s definition of Satisfactory cannot be lower than the department’s baseline requirements in the most current probationary plan.

1. **University & Public Service**

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 and service to the candidate’s field may be considered an acceptable alternative in department standards.

Based on standards set by the department for promotion to the rank of Full, the candidate’s service will be rated as Inadequate, Satisfactory, or Exceptional, with justification provided for the rating. A department’s definition of Satisfactory cannot be lower than the department’s baseline requirements in the most current probationary plan.

1. **Calculation of Ratings**

Promotion to the rank of Full is a criterion-referenced assessment, meaning candidates are evaluated in reference to established criteria (department standards), not in reference to their colleagues (e.g., norm-referenced assessment) or to their own past productivity during the probationary period (e.g., self-referenced assessment).

To be favorably recommended for promotion to the rank of Full Professor, candidates must meet the following ratings scenario across the three areas of teaching, RSCA, and service, as based on their department standards:

Satisfactory in all three areas

 **IV. CONSIDERATION FOR EARLY PROMOTION**

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

1. **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 their accomplishments. This letter shall be sent to the Provost two weeks prior to the scheduled consultation.The WPAFis 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.

1. **Criteria for Early Promotion to the Rank of Associate Professor**

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. [[20]](#footnote-20) 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**

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).

1. **Professional Development and Scholarly/Creative Activities**

The faculty member must demonstrate a sustained pattern of excellence in theScholarship of Application/Integration/Discoveryas described inSection II above.

1. **University and Public Service**

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

1. **Criteria for Early Promotion to the Rank of Full Professor**

Associate faculty seeking early promotion to the rank of Full Professor (i.e., in the fourth year following promotion to the rank of Associate or earlier, with the promotion becoming effective at the start of the fifth year or earlier) **must provide evidence of Exceptional performance in all three areas: Scholarship of Teaching; the Scholarship of Discovery/Application/Integration; and University and Public Service**, as based on their department standards, to be favorably recommended.

It is expected that the candidate’s performance in all three areas distinguishes the faculty member from successful candidates who applied for promotion to Full during the normal time-in-rank review cycle.

**V. PROCEDURES [[21]](#footnote-21)**

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

1. **General Procedures Applicable to the Entire Process.**

The Office of Faculty Affairs will provide instructions and forms for the preparation of the WPAF and for the preparation of recommendations on its website.

The President will issue, as part of the Faculty Affairs Calendar, the deadline dates for each step in the 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. [[22]](#footnote-22)**

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 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 the membership of that committee present andvoting. **[[23]](#footnote-23)**

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 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) it is the dean’s responsibility to ensure that the following information is placed in the candidate's WPAF:

(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);

1. Any letters and/or other written comments which have been signed and included in the 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
2. All previous Promotion Forms including written reasons (in reverse chronological order). [[24]](#footnote-24)
3. 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 that they feel 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 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 pursuant to university procedures in the normal course of the promotion process.[[25]](#footnote-25)

11. **Recommendations on promotion shall be based solely upon the contents of the candidate's WPAF.** Should the President make a decision on any basis not directly related to the professional qualifications, work performance, or personal attributes of the person in question, those reasons shall be stated in writing and entered into the PAF and shall be immediately provided to the faculty member.

12. The Office of Faculty Affairs should provide a training workshop each year on 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.[[26]](#footnote-26)

15. Department chairs who have not received tenure may not make recommendations in the 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.[[27]](#footnote-27) The faculty member may, at their 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 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 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 their own PAF or WPAF.

1. **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 and candidate narratives. Further, scholars in a particular field or activity have the chief competence for judging the 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. [[28]](#footnote-28) 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.

1. **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 and timelines for recommendations shall be published through the Faculty Affairs 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.

1. **Department Level [[29]](#footnote-29)**

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. The department will use a candidate’s probationary plan as the primary basis for assessing probationary faculty members’ evidence and narratives, and for making recommendations on promotion to the rank of Associate. The department will use its approved standards (as described in III.B-F) as the primary basis for assessing Associate-level faculty members’ evidence and narratives, and for making recommendations on promotion to the rank of Full.

2. The probationary and tenured faculty of the department shall electa department peer review committee (or a separate committee for each candidate) of tenured full-time faculty members at a rank higher than the faculty candidate. The peer review committee shall consist of a minimum of three (3) members, excluding participants in the Faculty Early Retirement Program. The department may choose to elect members of other departments to the committee.[[30]](#footnote-30) 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. 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.

4. Department chairs may decide to submit an independent recommendation or to participate as a member of the department peer review committee**.[[31]](#footnote-31)** The department chair shall make known their 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 promotion process. A copy of the notification shall be placed in the WPAF. The chair shall apply this decision to all promotion candidates in that academic year. If the department chair makes an independent recommendation, they shall not participate in deliberations or attend meetings of the departmental peer review committee. If the chair does not make an independent recommendation, they 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 thePromotion 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 theWPAF 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.

1. **College/School Level** [[32]](#footnote-32)

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. Each department/program shall have no more than one (1) representative on the College Committee. There shall be a minimum of three (3) eligible members.

a. For faculty candidates for tenure and promotion to Associate Professor, full-time tenured faculty at the rank of Associate Professor or Professor may serve on the college/school peer review committee.

b. For faculty candidates for tenure and/or promotion to Professor 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 right to make a separate appearance before the college/school peer review committee and the dean to present their 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.**

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.** 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, the college/school dean shall make a written independent recommendation concerning promotion based solely on information and documentation in the WPAF. 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. All requests for clarification shall be in writing.

8. The dean may request clarification of either recommendations or evidence in the WPAF. 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 the office of Faculty Affairs by the date specified in the Faculty Affairs Calendar. Faculty Affairs shall forward to the University Board on Retention, Tenure and Promotion all WPAFs in which a recommendation to deny promotion was made at any level, or there is the absence of a recommendation at any level. All other WPAFs shall proceed directly to the President for final review and decision.

1. **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 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.**

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 they 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 their 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.**

5. UBRTP may request clarifications of either recommendations or evidence in the WPAF. 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 recommendation~~s~~ and the reasons for the recommendation by the date specified in theAcademic 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.

1. **President's Decision [[33]](#footnote-33)**

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 their case prior to the President issuing their decision. The President must allow a presentation of at least thirty (30) minutes. **Discussions must be limited to information and documentation in the WPAF.**

2. The President shall review and consider the recommendations for promotion, the WPAF, and written rebuttals (if any).

3. The President may request clarifications of either recommendations or evidence in the WPAF. 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 **[[34]](#footnote-34)** of that decision and of the reasons for the decision by the date specified by theCollective Bargaining Agreement**. [[35]](#footnote-35)** Satisfying the requirements for positive recommendation on promotion does not in itself constitute a guarantee of promotion, as the final decision is made by the President.

**REFERENCES:** CBA Articles 11, 14, 15, 16, 20, 27, 28, 29, 31

 Final Report of the Faculty Scholar Blue Ribbon Committee (APM)

 Policy on Academic Organization and Governance (APM 113)

 Policy on the Assessment of Teaching Effectiveness (APM 322)

 Policy on Probationary Plans and Faculty Mentoring (APM 324)

**Recommended by**

**the Academic Senate Approved by the President**

 June 1975 (Interim)

March 1977 June 1977

Amended 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

 July 15, 2011

September 24, 2012 October 2, 2012

1. Hereafter, the use of the terms “Associate Professor” or “Professor” in this policy also refers to the equivalent ranks for Librarians and SSP-ARs. [↑](#footnote-ref-1)
2. See CBA Article 14.2. [↑](#footnote-ref-2)
3. See CBA Article 14.2. [↑](#footnote-ref-3)
4. See CBA Article 14.3. [↑](#footnote-ref-4)
5. Promotion eligibility is defined in Article 14 of the Collective Bargaining Agreement. [↑](#footnote-ref-5)
6. CBA Article 14.5. [↑](#footnote-ref-6)
7. Allegations of non-collegial working relationships by reviewers must be supported by documentation in the WPAF. [↑](#footnote-ref-7)
8. See Article 20 of the CBA. For faculty without teaching responsibilities, professional effectiveness in assigned responsibilities is substituted for teaching. [↑](#footnote-ref-8)
9. 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. [↑](#footnote-ref-9)
10. From the list, faculty members are expected to accomplish only those items that are appropriate to their discipline. [↑](#footnote-ref-10)
11. 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. [↑](#footnote-ref-11)
12. From the lists given, faculty members are expected to accomplish only those items that are appropriate to their discipline. [↑](#footnote-ref-12)
13. This list is derived from faculty responsibilities described in Article 20 of the Collective Bargaining Agreement. [↑](#footnote-ref-13)
14. At the time of the application, the Associate Professor must be either tenured or applying for tenure. [↑](#footnote-ref-14)
15. Because the performance review for promotion occurs during the year preceding the effective date of the promotion (CBA 14.3), contributions made during the year in which the candidate previously applied for promotion -- and was successfully promoted -- may be included in the next promotion file so long as they were not included in the candidate’s previous successful file (including materials added to the file after its initial submission). [↑](#footnote-ref-15)
16. For the purposes of this policy, includes other appropriate units such as divisions and the Library’s organizational structures (see APM 113). [↑](#footnote-ref-16)
17. 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. [↑](#footnote-ref-17)
18. Once new department standards are approved for adoption, there shall be no grandfathering into previous standards. According to CBA 15.3, “evaluation criteria and procedures shall be made available to the faculty unit employee no later than 14 days after the first day of instruction of the academic term. Evaluation criteria and procedures shall be made available to the evaluation committee and the academic administrators prior to the commencement of the evaluation process. Once the evaluation process has begun, there shall be no changes in criteria and procedures used to evaluate the faculty unit employee during the evaluation process.” [↑](#footnote-ref-18)
19. 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. [↑](#footnote-ref-19)
20. Completion of the probationary plan at an early date is not a sufficient basis for early promotion. [↑](#footnote-ref-20)
21. 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. [↑](#footnote-ref-21)
22. It is not a violation of this confidentiality to report to appropriate administrators (i.e., the dean or the Associate Vice President for Faculty Affairs) any inappropriate conduct that may have occurred. [↑](#footnote-ref-22)
23. If there is a tie vote, the WPAF shall go forward without a recommendation from the peer review committee. (See CBA 15.42-43) [↑](#footnote-ref-23)
24. This provision applies only if the faculty member has previously applied for and been denied promotion to the rank for which they are currently being considered. [↑](#footnote-ref-24)
25. See Article 15.12 of the CBA. [↑](#footnote-ref-25)
26. A department chair may not make a separate recommendation if they are being reviewed for promotion during the same academic year. [↑](#footnote-ref-26)
27. The deadline dates in the calendar of faculty personnel actions published by Faculty Affairs 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. [↑](#footnote-ref-27)
28. For candidates seeking promotion to the rank of Associate, the probationary plan provides for a balance of commitments.
 For candidates seeking promotion to the rank of Full, the departmental process outlined in sections III.B and III.F provides
 for a balance of commitments. [↑](#footnote-ref-28)
29. 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. [↑](#footnote-ref-29)
30. Prior to the vote, the member of the department making the nomination must justify why it is necessary or advantageous to elect faculty from outside of the department. [↑](#footnote-ref-30)
31. CBA Article 15.37. Department or college/school procedures may not limit the discretion of the department chair in this matter. [↑](#footnote-ref-31)
32. 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. [↑](#footnote-ref-32)
33. Unless announced otherwise, the Provost makes the final decision as the President's designee. [↑](#footnote-ref-33)
34. Notice of the President's decision is mailed electronically to the faculty member with return receipt activated. [↑](#footnote-ref-34)
35. 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. [↑](#footnote-ref-35)