

Faculty Promotion Guidelines

(December 1982 updated to August 15, 2008)

PROMOTION MATERIALS CHECKLIST

[Candidate] Check Sheet of Minimum Materials for Inclusion

<u>Date Due</u>	<u>Task</u>	<u>Date Completed</u>	<u>Final Check before UPC Submission</u>
Sept 15	Faculty member (hereafter referred to as candidate) notifies Department Chairperson of his/her intention to apply for promotion_ with a copy to Dean and Provost	_____	_____
Nov 1	Candidate submits application & promotion materials to departmental chair and department promotion committee	_____	_____
Fall Sem.	Evaluation of performance of duties that lie outside of the classroom setting (Article 16.A.3 of CBA (2007))	_____	_____
Fall Sem. Final 4 wks of courses	Period of Student evaluations of all classes and labs for fall semester of year of application	_____	_____
Dec. 1	Peer classroom evaluation(s) by DPC and chair for fall semester of year of application	_____	_____
Jan 14	Candidate delivers Promotion Materials and 8 copies of vita to Rohrbach Library Rm. 208	_____	_____
Feb 1	Candidate meets with provost or designee to review eligibility.	_____	_____
Feb. 1	Department Chairperson forwards		

	8 copies of Department Chairperson's recommendation to Chair of UPC	_____	_____
Feb. 1	DPC chair forwards 8 copies of Department Promotion Committee recommendation to Chair of UPC	_____	_____
Feb. 1	Dean/Library Director* submits 8 copies of recommendation to Chair of UPC and one copy to candidate	_____	_____
Feb 10	Last day for candidate to request to meet with the UPC	_____	_____
Feb 15	Last day for candidate to submit to chair of UPC a response to Dean's letter of Recommendation	_____	_____
Feb. 21	Provost submits 8 copies of Recommendation to Chair of UPC and one copy to candidate (see X.B.3).	_____	_____
March 1	Last day for candidate to submit to chair of UPC a response to Provost's letter of recommendation (see X.B.3)	_____	_____
April 15	UPC recommendation forwarded to University President or designee	_____	_____
July 15	President or designee announces decision regarding promotions	_____	_____

**State System of Higher Education
Kutztown University
Kutztown, PA**

Faculty Promotion Guidelines
(December, 1982 updated to August 15, 2008)

I. Rationale

Management grants promotion to faculty members who, in the judgment of their designated peers, have demonstrated distinguished professional performance as supported by evidence provided by the candidate. Recommendation for promotion requires more than mere satisfactory or perfunctory fulfillment of minimum eligibility requirements, professional responsibilities, and criteria for promotion.

II. Minimum Qualifications

A. State Act 182 clearly states the minimum education and longevity requirements for promotion to each professional rank.

1. *Assistant Professor Qualifications – minimum of Master's Degree plus ten semester hours of graduate credit; at least four years of teaching experience . . .*
2. *Associate Professor Qualifications - minimum of an earned Doctor's Degree or a Master's Degree plus forty semester hours of graduate credit or a total of seventy semester hours of graduate credit including a Master's Degree or all course work completed toward a doctorate as certified by the university where the work is being taken; at least five years of teaching experience ...*
3. *Professor Qualifications - an earned Doctor's Degree; at least seven years of teaching experience...*

NOTE: A policy on degree equivalencies in faculty appointment and promotion criteria was approved by the SSHE Board of Governors, effective August 22, 1987. (See Section XIV).

These are minimum requirements, and satisfactory completion of these does not guarantee recommendation for promotion.

B. Initial appointment to the faculty will be based upon the appointee's experience, and no departure from the normal promotion procedure as stated in the guidelines will be offered as a condition of employment. No consideration will be given to any promotion application, which would result in promotion prior to the applicant's successful completion of at least three years as a faculty member at the university.

The following guidelines relative to promotion and tenure shall be in effect for anyone whose

faculty appointment at the university began after December 1, 1982

1. A person may apply for, and if given favorable consideration, be granted promotion to the rank of Assistant Professor, effective after three years of experience as a faculty_member at the university in the rank of Instructor and before being granted tenure.
 2. A person may apply for promotion to the rank of Associate Professor effective after at least three years in the rank of Assistant Professor or to the rank of Professor effective after at least three years in the rank of Associate Professor. Application for promotion to either Associate professor or Professor cannot be made earlier than the year in which a faculty member applies for the granting of tenure, and the granting of promotion is contingent upon the applicant having been granted tenure.
 3. The University Promotion Committee (hereafter referred to as UPC) reserves the right to recommend to the President the waiving of any or all of the time requirements in exceptionally meritorious cases.
- C. Persons who can reasonably expect to meet the minimum qualifications by the date on which the promotion would become effective may apply for promotion contingent upon meeting the criteria. If these requirements are not met by the date on which the promotion would become effective, promotion will not be granted and the person will have to reapply for promotion beginning at the departmental level.

III. Fulfillment of Professional Responsibilities

Consideration for promotion will be given only to those who meet the professional responsibilities as stated in CBA, Article 4.B. (2007):

A proper academic climate can be maintained only when members of the FACULTY meet their fundamental duties and responsibilities regularly. These duties and responsibilities include but are not limited to: reporting promptly, and in advance if possible, any changes in class hours or classrooms assigned; preparing for and meeting their assignments, which would include timely notification of the proper authority and making a reasonable effort to insure that assignments can be covered in case of absences; making a reasonable effort to notify students of any changes in class hours or classrooms assigned; keeping current in their academic disciplines through continuing scholarly activity; keeping office hours in accordance with Article 23, WORKLOAD AND WORKLOAD EQUIVALENTS, and conferring with and advising students and advisees; evaluating fairly and reporting promptly student achievement; rendering service to the University which would include participating in group deliberations which contribute to the growth and development of the students and the UNIVERSITIES; and reporting promptly, and in advance if possible, absence from any assigned duty in accordance with the provisions of Article 17, SICK LEAVE. All members of the FACULTY also have the responsibility to accept those reasonable duties assigned to them within their fields of competence. Additionally, FACULTY MEMBERS have the responsibility to perform other tasks characteristic of the academic profession as described in Article 12, PERFORMANCE REVIEW AND EVALUATION OF FACULTY, Section B.1. and to attempt honestly and in good conscience to preserve and defend the goals of the UNIVERSITIES, including the right to advocate change.

Evidence of fulfillment of these professional responsibilities should be supplied by the candidate, departmental chairperson, and the Departmental Promotion Committee (DPC). Failure to meet

these shall preclude consideration.

IV. Criteria for Promotion

- A. The following categories shall be considered by the DPC. The university may adopt additional categories for consideration of promotion and will state specifically what types of evidence will be used in these additional categories.
1. Evidence of effective teaching and fulfillment of professional responsibilities will include when applicable: student evaluations, peer evaluations, classroom visitations, quality of syllabi, quality of student advisement, willingness to accept departmental work assignments, and timely execution of work assignments. Evaluation of teaching effectiveness and fulfillment of professional responsibilities will not be based on a single datum. A combination of all appropriate data will be used to give sufficient evidence for an overall judgment of teaching effectiveness and fulfillment of professional responsibilities.
 - a. The indicator “quality of student advisement” is to be taken as also including faculty efforts in orientation, the Advising Center and student recruitment and retention.
 2. Evidence of continuing scholarly growth will include, when applicable: development of experimental programs; papers delivered at national and regional meetings of professional societies; regional and national awards; offices held in professional organizations; invitational lectures given; participation in panels at regional and national meetings of professional organizations; grant acquisitions; editorships of professional journals; participation in juried shows; program-related projects; quality of musical or theatrical performances; participation in one-person or invitational shows; consultantships; research projects and publication record; additional graduate work; attendance at professional meetings which enhances one's scholarly growth; and contribution to the scholarly growth of one's peers. Evaluation of continuing scholarly growth will not be based on a single datum. A combination of all appropriate data will be used to give sufficient evidence for an overall judgment of continuing scholarly growth.
 - a. The indicator “development of experimental programs” is to be taken as also including faculty efforts with learning communities, ultra, and innovative classroom strategies.
 3. Evidence of service and contribution to the University and/or community will include when applicable: quality of participation in program, department, college, and university committees; participation in university governance; APSCUF activity contributing to the governance of the university; development of new courses or programs; training or assisting other faculty members in the use of distance education technology; participation in university-wide colloquia; advisorship of student organizations; voluntary membership in professionally oriented, community-based organizations reasonably related to the faculty member's discipline; lectures and consultations; and consulting with local and area agencies and organizations. Service and contribution to the University and/or community will not be based on a single datum. A combination of all appropriate data will be used to give sufficient evidence for an overall judgment of service and contribution to the University and/or community.
- B. For faculty members whose basic areas of responsibility lie outside the classroom, performance of duties as described in the official position description will be used in lieu of effective teaching. These faculty will also be evaluated based on fulfillment of professional

responsibilities, continuing scholarly growth, and service/contributions to the university/community, with the same expectations in these areas as teaching faculty. In the case where a teaching assignment is made, the category for effective teaching shall be included.

- C. The DPC shall rate each candidate in each category listed above and provide supporting justification in its report to the UPC.
- D. Effectiveness in teaching and the fulfillment of professional responsibilities (as in A-1 above) will be the primary criterion upon which a promotion decision will be made. In addition to (1) effectiveness in teaching and fulfillment of professional responsibilities, (2) continuing scholarly growth and (3) service and contribution to the university and/or community will be considered as promotion criteria. Although there is an expectation of contribution in both areas (2) and (3), a greater contribution in one area may compensate for a lesser contribution in the other. In the case that the university adopts additional categories the expectation with respect to those categories will be stated plainly.
- E. Applications for promotion will be reviewed with higher levels of expectation as candidate's progress through the ranks.
- F. Information on graduate study as it relates to the candidate's promotion eligibility.

- 1. For promotion consideration it is expected that the candidate's graduate study will show purpose and direction and relevance to the candidate's major teaching responsibilities at the University.

In cases in which the candidate for promotion has not completed a doctoral program or has completed the doctorate in a discipline other than that in which his/her principal teaching duties lie, graduate degree or graduate course relevance is to be addressed by the department. The candidate is responsible for demonstrating the relevance of graduate course work to his/her responsibilities in the department.

- 2. It is recommended that each person pursuing graduate study after having joined the University faculty discuss program and course relevance (to major teaching responsibilities) with appropriate members of his/her department. (Appropriate members would most likely include the departmental chair and the departmental promotion committee.) Decisions on these matters should be summarized in a written document confirming the agreements reached, and when possible, this should be done before the degree program and/or course work are begun. The UPC will regard these agreements as binding and not to be altered without the faculty member's consent.
- 3. All matters on degree program or graduate course relevance are to be settled at the departmental level before the promotion recommendation is forwarded to the UPC. If agreement cannot be reached in the department, the faculty member may submit supporting evidence (for example, statements from a graduate advisor or professor or other qualified persons) for consideration by the departmental chairperson and promotion committee.
- 4. A candidate for promotion to the rank of Associate Professor, qualifying by virtue of a total of 70 semester hours of graduate credit (including a Master's Degree), must have taken at

least 50% of the credits in a discipline or specialty which is clearly related to the faculty member's professional responsibilities. The remaining credits shall be earned in fields clearly related to the service the candidate renders to the university.

5. No more than ten semester hours of graduate credit taken at Kutztown University (after the faculty member has joined the Kutztown faculty) will be accepted toward credit requirements for promotion consideration. Any graduate degree program or graduate course work taken at Kutztown before a person has joined our faculty will be evaluated in the same manner as graduate work at other institutions.
6. No graduate credit toward promotion requirements will be accepted for a course grade lower than C.

V. Responsibilities of the Applicant (see the timetable on p. 15)

- A. Any faculty member with the required minimum qualifications who wishes to apply for promotion is advised to notify the departmental chairperson, Dean/Library Director* and Provost of his/her intentions on or before September 15.
- B. A candidate must submit an application for promotion together with all written substantiation to the departmental chairperson on or before November 1. If the candidate is a departmental chairperson, s/he shall submit the application and all written substantiation directly to the DPC on or before November 1. By November 1 the candidate will also give to the Departmental Chairperson notification of application for promotion and a statement granting/not granting the UPC Chairperson access to the candidate's personnel file.
- C. The candidate shall meet with the Provost or his/her designee to review degree or credit eligibility for promotion by February 1. The candidate will bring to this meeting transcripts for any graduate work completed since the candidate's hire or previous review of credit eligibility.
- D. Once the departmental chairperson has forwarded the candidate's promotion materials to the DPC, the candidate may request an appearance during the committee's deliberations to support his/her application.
- E. By January 15 the candidate will receive a copy of the recommendation made by the DPC. The candidate may then make a written request to appear before the DPC. An appearance before the DPC must be scheduled in a timely manner, allowing the DPC sufficient time to submit its final report to the UPC by February 1.
- F. The candidate shall coordinate with his/her departmental chairperson and DPC to retrieve his/her promotion materials for delivery to Rohrbach Library, Room 208 on or before the first business day after January 14 that the library is open. If the candidate is unavailable to physically deliver his/her promotion materials he/she may arrange for a designee to do so.
- G. The candidate (or his/her designee) will deliver his/her promotion materials and a copy of his/her fall teaching schedule directly to Rohrbach Library Room 208 during one of the times announced by the UPC for this purpose. Upon delivery two members of the UPC and the candidate (or his/her designee) will confirm that all student evaluations for classes taught during the semester of application, peer evaluation(s) from the same semester, and an updated copy of the candidate's CV are included in the materials. The presence or absence of these

items will be documented on a Promotion Materials Receipt form with signatures from both the UPC members and the candidate (or his/her designee) and copies of this form will be provided for both the candidate and the UPC records.

- H. There will be a place on the Promotions Materials Receipt form for the candidate to indicate if his or her good faith efforts have failed to have included in his or her promotion materials the required peer evaluations and/or students evaluations. If a candidate indicates that this is the case, a copy of the Promotion Materials Receipt form will be sent to the candidate's department promotion committee chair, department chair, Dean/Library Director*, the Provost, and the current APSCUF-KU president.
- I. The University Promotion Committee reserves the right not to consider any promotion materials lacking any portion of the three required items or delivered after 4:30 P.M. on the first business day after January 14 that the library is open.
- J. Once the DPC has forwarded its recommendations to the UPC, the candidate may request an appearance during the UPC's deliberations to support his/her application. The UPC may also request that the candidate meet with it.
- K. The candidate will receive notification of the President's decision by July 15.
- L. The candidate shall have the right to grieve promotion decisions only with respect to failure by management to observe the procedures set forth above or insofar as other provisions of the CBA may have been violated. Action or inaction by members of the bargaining units with regard to promotions shall not be grievable. CBA, Article 16.B.12 (2007).

VI. Responsibilities of the Departmental Chairperson (See the timetable on p. 15)

- A. The chairperson shall initiate the DPC election process, which must be completed before October 1. The time and manner of the democratic elections shall be provided for and be uniform throughout the university.
- B. The chairperson shall convene the first meeting of the DPC and conduct the election of a committee chairperson.
- C. The chairperson shall notify immediately, but no later than November 1, the DPC of all promotion applications.
- D. The chairperson shall forward the entire application file to the DPC by November 8. All promotion materials shall be available to the chairperson for review.
- E. By November 15 the chairperson shall submit a full list of candidates to the UPC, with a copy to the appropriate dean, Library Director*, or manager. The chairperson shall also send Notification of Application form (including statement granting/not granting permission to UPC Chairperson access to candidate's personnel file) to UPC Chairperson.
- F. By December 1 the chairperson shall complete a written peer evaluation (peer observation).
- G. Before making his/her recommendation, the chairperson shall notify the candidate of his/her right to meet with the department chairperson.

- H. The chairperson shall submit detailed recommendations for each candidate to the UPC on or before February 1. Each recommendation must include specific references to evidence submitted by the candidate and a careful written evaluation of the candidate. A copy of each recommendation shall be sent to the respective candidate.
- I. No department chairperson shall evaluate his/her own application for promotion or the application of a member of his/her immediate family or a person residing in his/her household. Immediate family is defined as spouse, child, step-child, parent, step-parent, parent-in-law, brother, sister, brother-in-law or sister-in-law. A department chairperson shall not participate in the review of any applicants, if he/she or a member of his/her immediate family or a person residing in his/her household is an applicant. In such an event, the DPC shall notify the members of the department of the ineligibility of the department chairperson. The regular faculty of the department will hold an election to recommend a regular faculty member who will submit recommendations in place of the chairperson. The faculty member recommended by the department must also be acceptable to management.

VII. Responsibilities of Managers

- A. The Provost or his/her designee is responsible for establishing the validity of the candidate's graduate credits and degrees and determining the candidate's academic eligibility for promotion consideration.

VIII. Departmental Promotion Committee

A. Composition of the Departmental Promotion Committee (DPC)

1. The DPC, shall consist of at least three members. Eligibility for the DPC shall be determined by the department members with the exceptions noted below. In cases in which a person or persons from outside a department are selected to serve on a departmental promotion committee, the same procedures as specified for evaluation committees in Article 12.C.1.a. of the Collective Bargaining Agreement (2007) shall be followed.
2. Temporary faculty members may not serve on the DPC.
3. The departmental chairperson may not serve on the DPC.
4. A member of the UPC may not serve on the DPC.
5. No faculty member shall serve on a department promotion committee when he/she or a member of his/her immediate family or a person residing in his/her household is an applicant for promotion. Immediate family is defined as spouse, child, step-child, parent, step-parent, parent-in-law, brother, sister, brother-in-law or sister-in-law.
6. In the event that an insufficient number of eligible faculty members remain to form a department committee, the procedure identified in Article 12.C.1.a. of the Collective Bargaining Agreement (2007) shall be utilized to form a department committee.

B. Responsibilities of the Departmental Promotion Committee (See timetable on p. 17)

1. Each DPC will review its rules and procedures no later than October 1 of each year. The

rules and procedures for promotion will be distributed to the department on or before October 10.

2. The departmental chairperson will immediately notify the departmental promotion committee of all promotion applications. The latest the departmental committee is to be notified is November 1. The departmental chairperson will forward each candidate's application and written substantiation to the DPC on or before November 8. The candidate may appear before the DPC to support his/her application.
3. The DPC will ensure student evaluations and peer evaluations in the classes of the promotion candidate are conducted before December 1 in the semester of application.
4. The DPC chairperson (or his/her designee) will place the results of all student evaluations conducted in the fall semester of application and any peer evaluations not already included into the candidate's materials within 4 business days after the Registrar's deadline for submitting grades.
5. The DPC will review all available evidence and before making a recommendation, the DPC shall notify the candidate of his/her right to appear before the committee. The DPC will send a copy of its recommendation to each candidate on or before January 15. If there is a minority report, a copy shall be sent to the candidate at this time. It is the responsibility of the DPC to give each candidate reasons for the recommendation made and, if unfavorable, to give suggestions that may lead to a favorable recommendation in the future.
6. The DPC will make written recommendation to the UPC on or before February 1. This recommendation will include reference to the evidence considered by the committee and specific reasons for making the recommendation. If there is a minority report, a copy shall be sent to the UPC at this time.
7. All data and materials upon which the recommendation of the DPC is based are to be delivered by the candidate or his/her designee directly to the Rohrbach Library, Room 208, on or before the first business day after January 14 that the library is open. These materials shall include student evaluations conducted in the semester of application.
8. The DPC shall be responsible for the authentication of all documents in a candidate's application.

IX. University Promotion Committee (UPC)

A. Composition of the University Promotion Committee

1. The UPC will consist of seven tenured members of the regular faculty (regular is defined in the CBA as "A tenured or tenure track Faculty Member.") three members will be elected in the spring of each even-numbered and four in the spring of odd numbered years.
2. All tenured faculty members are eligible to serve on the UPC (subject to the limitations in Section IX.A.5., 6., and 7) and all regular faculty members of the bargaining unit are eligible to participate in the balloting to choose members of the UPC.

3. A willingness to serve form shall be transmitted to all eligible faculty. A primary ballot of candidates shall be constructed so as to include all eligible faculty who are willing to serve.
4. In all balloting voters have as many votes as there are positions to be filled. A resulting final ballot shall be constructed containing no more than twice as many candidates as there are committee vacancies. In both the primary and final balloting winners are those who receive the greatest number of votes. Vacancies will be filled by proceeding from the highest totals, in order, down the final balloting results. The entire selection process will be completed by May 1 of each year.
5. No department may have more than one member serving on the UPC (Article 16.B.2. CBA (2007)).
6. No faculty member shall serve on the University Promotion Committee when he/she or a member of his/her immediate family or a person residing in his/her household is an applicant for promotion. Immediate family is defined as spouse, child, step-child, parent, step-parent, parent-in-law, brother, sister, brother-in-law or sister-in-law.
7. The APSCUF-KU President, Meet and Discuss Chairperson and Grievance Chairperson and members of other contract committees may not serve on the UPC.
8. The term of office for each member will be two years and shall run from September 1 to August 31.
9. Vacancies that occur between regular elections to the UPC will be filled by a special election using the procedures specified in Section IX.A.3 and 4 above.
10. The committee chairperson shall be elected at the first meeting of the Fall Semester and shall serve for a one-year term.

B. Responsibilities of the University Promotion Committee

1. An organizational meeting of the UPC shall be convened on or before September 15 by the outgoing chairperson. At this meeting the UPC will elect a chairperson and review the current Faculty Promotion Guidelines.
2. The UPC shall distribute the Faculty Promotion Guidelines to all members of the bargaining unit on or before October 1. The following procedure is to be followed:
 - a. The Faculty Promotion Guidelines will be reviewed by the UPC each year beginning in May. Newly elected members of the UPC will be invited to assist in this review.
 - b. Proposed revisions to the Faculty Promotion Guidelines will be presented to local APSCUF Representative Council for approval. Amendments to the Faculty Promotion Guidelines shall be agreed to at local Meet and Discuss and will be reviewed for approval by State Meet and Discuss.
 - c. Unless amendments are approved before September 1, the current Faculty Promotion Guidelines will continue in effect for that academic year.

3. The UPC will announce designated days and times prior to and during the first business day after January 14 that the library is open for delivery of promotion materials to Rohrbach Library, Room 208. The UPC will make time available for candidates or their designees to deliver their packages on the last day that packages can be accepted. Upon delivery two members of the UPC and the candidate (or his/her designee) will confirm that all student evaluations for classes taught during the semester of application, peer evaluations, and an updated copy of the candidate's CV are included in the materials. The presence or absence of these items will be documented on a Promotion Materials Receipt form with signatures from both the UPC members and the candidate (or his/her designee) and copies of this form will be provided for both the candidate and the UPC records.
4. There will be a place on the Promotions Materials Receipt form for the candidate to indicate if his or her good faith efforts have failed to have included in his or her promotion materials the required peer evaluations and/or student evaluations. If a candidate indicates that this is the case, a copy of the Promotion Materials Receipt form will be sent to the candidate's department chair, Dean/Library Director*, the Provost, and the current APSCUF-KU president.
5. The University Promotion Committee reserves the right not to consider any promotion materials lacking any portion of the three required items or delivered after 4:30 PM on the first business day after January 14 that the library is open.
6. The UPC will not decline from reviewing a candidate's package and making a recommendation because no recommendation has been forwarded by the DPC and/or the candidate's chairperson. The candidate may request an appearance before the UPC during its deliberations to support his/her application.
7. The UPC shall review all applications, and recommendations, and shall judge each application on the basis of the degree to which the criteria have been met.
8. The UPC shall forward its final recommendations to the President on or before April 15. Candidates will receive notification of the UPC's recommendation and the President's decision by July 15.
9. At the request of the President or his/her designee, the recommendations given to him/her will be supported in sufficient detail to enable him/her to know the grounds upon which the committee reached its conclusion in each case.

C. Procedures of the University Promotion Committee

1. The UPC will review all reports and specific materials presented by the DPC, the departmental chair, and those submitting a minority report, if submitted. This may include material from the candidate's personnel file. These materials will be judged in accordance with criteria specified in these guidelines.
2. Information, testimony or other evidence, apart from that supplied by the applicant, the Departmental Chairperson, the Departmental Committee, Dean/Library Director* or Provost may be considered by the committee but will not be entertained unless submitted at the request of the university-wide committee. In the event information, testimony or

other evidence, apart from that supplied by the applicant, is considered, the candidate shall be provided with a copy of all such information, testimony or other evidence, and shall be provided with an opportunity to respond prior to the committee's recommendation.

3. The candidate for promotion shall have right of access to copies of all documents and a log of the list of all information sources considered by the UPC in the review of his/her application
4. If the university-wide committee is not satisfied with the justification the department chairperson, department committee, Dean or Provost makes for its recommendations, the university-wide committee will return the matter to the department chairperson, department committee, Dean, and/or Provost with the nature of the requested clarification. The university-wide committee may then evaluate the department chairperson's, department committee's, Dean's, or Provost's recommendations and response and make its own evaluation.
5. The following specific rules of procedure shall be observed by the UPC in its deliberations.
 - a. The role of this committee is to make recommendations only. Promotion is made by the President of the University, who informs the Council of Trustees of his/her decision.
 - b. Confidentiality must not be violated at any time in any matter concerning an individual's promotion application, the Committee's deliberations or the Committee's decision on that individual's application.
 - c. Applications will be considered alphabetically starting with the lowest rank applied for.
 - d. A quorum, five (5) members present and voting, of the Committee is necessary for a recommendation decision. Four (4) affirmative votes are necessary for a promotion recommendation. Voting will be by written ballot. Any 4 to 3 vote (for or against promotion) must be reconsidered at least once.
 - e. Every member present must cast a written ballot indicating an affirmative, negative or abstaining vote. If there are two (2) or more abstentions on the first ballot, the Committee will automatically reconsider the candidate's request for promotion before the Committee moves to consideration for the next rank.
 - f. Votes on recommendations are not recorded in the minutes and no count of votes is provided to the administration. At the end of the process, the minutes will indicate recommendations by rank in alphabetical order and the vote will be reported to the applicant.
 - g. Recommendations, positive or negative, are not final until all applications have been considered. That is, any case may be reopened on the request of an individual Committee member at any time. The name of the person making the request will not be recorded in the minutes.

- h. The Committee will present the President with a ranked-in-group list of promotion recommendations. Once the ranking process has begun, no requests for reconsideration of applications will be honored.
- i. NOTE: For all other business before the Committee, a quorum shall be five (5) members present and voting. A simple majority will carry.

X. Responsibilities of Dean/Library Director* and Provosts

- A. The Dean/Library Director* shall submit a detailed recommendation for promotion according to the agreed upon criteria, to the UPC no later than February 1. The detailed recommendation for promotion shall be simultaneously provided to the FACULTY MEMBER, who may submit a written statement to the UPC addressing the Dean's recommendation no later than February 15.
 - 1. In making his/her independent recommendation, the Dean/Library Director* is not permitted under the Collective Bargaining Agreement, to review the recommendations of the Department Chairperson or the Department Committee prior to submitting his/her recommendation to the University-wide Promotion Committee.
 - 2. No Dean/Library Director* shall submit a recommendation regarding the application of a member of his/her immediate family, as defined in the Collective Bargaining Agreement, or a person residing in his/her household.
- B. Following the Dean's/Library Director's* recommendation, the Provost shall submit a recommendation to the UPC no later than February 21, with a copy to the FACULTY MEMBER. The FACULTY MEMBER may submit a written statement to the UPC addressing the Provost's recommendation no later than March 1.
 - 1. In making his/her independent recommendation, the Provost is permitted, under the Collective Bargaining Agreement, to review the recommendation of the Department Chair, the Department Committee, and the Dean/Library Director* prior to submitting his/her recommendation to the University-wide Promotion Committee. The procedure shall provide sufficient time for the Provost to review the prior recommendations and prepare his/her recommendation by February 21.
 - 2. No Provost shall submit a recommendation regarding the application of a member of his/her immediate family, as defined in the Collective Bargaining Agreement, or a person residing in his/her household.
 - 3. In the event that the Provost is named as the President's designee for purposes of making decisions about promotions, then the Provost shall not make a recommendation. In such cases, only the Dean/Library Director* shall submit a recommendation.

XI. Responsibility of the University President

In the event that the University President or his/her designee rejects a recommendation by the UPC, the UPC shall be notified in writing and shall be given an opportunity to discuss the matter with the President or his/her designee. Such an opportunity is to take place prior to the President or his/her designee announcing his/her final decisions. In no event is the President or his/her

designee to employ criteria different from that specified by the Collective Bargaining Agreement and these Faculty Promotion Guidelines.

XII. Procedural Guarantees as Contained in Article 16, Section B of the Collective Bargaining Agreement (2007).

- A. Paragraph 10: "Each applicant for promotion shall have the right to request and make an appearance before the University-wide promotion committee to speak on his/her own behalf before the committee submits its recommendations to the President or his/her designee."
- B. Paragraph 11. "In the event the President or his/her designee rejects a recommendation of the University-wide promotion committee, that committee shall be notified in writing and shall be given an opportunity to discuss the matter with the President or his/her designee. Promotions shall be made by the President effective as of the beginning of the next academic semester and announced to the FACULTY not later than July 15..."
- C. Paragraph 12 "An individual FACULTY MEMBER shall have the right to grieve, in accordance with Article 5, GRIEVANCE PROCEDURE AND ARBITRATION, promotion decisions only as to himself/herself and then only with respect to failure by management to observe the procedures set forth above or insofar as other provisions of this Agreement may have been violated. Action or inaction by members of the bargaining units with regard to promotions shall not be grievable...."

XIII. Affirmative Action

The UPC recognizes that Kutztown University is an Equal Opportunity Employer and subscribes fully to Affirmative Action. The UPC will guarantee that affirmative action is taken to insure equal opportunity in promotion. The Affirmative Action Officer of the University is invited to attend such meetings of the UPC as he/she feels necessary. Furthermore, the Affirmative Action Officer may consult with the UPC Chairperson regarding procedures employed at each level of the process.

XIV. Doctoral Equivalency

- A. The following policy on Degree Equivalencies in Faculty Appointment and Promotion criteria was approved by the PASSHE Board of Governors, effective April 22, 1987:
 - 1. Purpose and Scope

To determine the boundaries under which professional degrees such as the J.D. and M.F.A. may be considered equivalent to statutory academic degree qualifications for appointment and promotion of faculty.
 - 2. Policy

Holders of professional doctorates, including but not limited to the J.D. degree, shall be deemed eligible for consideration for appointment or promotion, provided that they meet

other criteria or expectations for appointment or promotion and that their candidacy is in compliance with the Act 182 stipulation that "Graduate degrees and preparation...shall be earned in fields related to the service rendered to the college." Similarly, holders of the M.F.A. degree, when related graduate preparation totals at least 60 semester credit hours, shall be deemed eligible for consideration for appointment or promotion, provided that they meet other criteria or expectations for appointment or promotion and their preparation and primary assignment are in the studio or performing arts.

B. Application of this Policy

1. As interpreted in an arbitration ruling, the reference to 60 semester credit hours does not mean that the MFA itself must be a 60-hour degree program.
2. The above statement of Purpose and Scope refers to the equivalency of "professional degrees such as the J.D. and M.F.A". The policy, as worded, does not exclude other professionally recognized terminal degrees, if such are approved by the PASSHE Board of Governors.

XV. Promotion Under the 3% Rule

- A. In Section 6 of the Act 182 there appears the following statement referring to what has become known as the 3% Rule:

Not more than thirty per centum (30%) of the total number of the faculty of a State College shall be approved for classification as Professors, except where a member of the faculty has met the requirements of a professorship and has been an Associate Professor for at least three years when recommended by the President of the university and approved by the Council of Trustees. Of the thirty per centum, three per centum of the faculty may be granted full professorship on the basis of other qualifications than the doctorate when recommended by the Council of Trustees.

On this basis, up to 3% of the number of faculty with the rank of Professor may be promoted to Professor because of qualifications other than the doctorate.

This 3% Rule is to be applied only in cases where the lack of an earned doctorate or a doctoral equivalency prevents a faculty member from applying for promotion to the rank of professor. Further, promotion under the 3% Rule should be reserved for truly worthy faculty members.

B. Criteria for Promotion under the 3% Rule

In order to be considered for promotion to the rank of Professor under the 3% Rule, the faculty member must:

- a. Have served at the University for at least eight years and at the Associate Professor level for at least three years, and
- b. Present evidence to show that he/she is highly qualified with respect to Sections III and IV. A. of the Faculty Promotion Guidelines, and

c. Present evidence of truly outstanding continuing performance and contributions in his/her discipline beyond the department and university level. Among the criteria which can be presented are:

- (1) The publication of a monograph or monographs within the field of specialization by a recognized publisher, or the writing of several scholarly articles in a recognized journal or journals in the field of specialization. Such publications will be considered with respect to their quality and their level of influence (regional, national, international).
- (3) In the visual arts, major exhibition(s) of one's artistic works in a nationally recognized art gallery or show.
- (3) In the performing arts, presentation(s) of a major performance in a nationally recognized theater or concert hall, or in the presentation of a person's creative work by a nationally recognized performing group.
- (4) Significant (administrative) leadership beyond the local level in professional scholarly organizations.
- (5) Presentation of major papers at professional meetings.
- (6) Creation of exemplary curriculum or teaching models that have influence beyond the local level.
- (7) Verifiable positive influence on students who have subsequently become recognized as leaders in their discipline.

The above is not an exhaustive list, and other evidence may be submitted in support of a promotion application.

The University Promotion Committee will study carefully all material presented to it and determine the degree to which the evidence presented represents truly outstanding continuing performance and contribution in the discipline. Significant performance and contributions at the local level (that is, departmental and collegiate levels) are viewed as only the beginning point. Evidence should also be presented to show that the faculty member has made significant positive contributions in his discipline beyond the local level. Further, the evidence presented should show continuing performance and contributions in the discipline. A "one-shot" contribution, no matter how significant it may be judged, will not necessarily qualify a person for promotion.

C. Consultation by UPC

In considering applications for promotion based upon the above criteria, the University Promotion Committee may, if it chooses, consult with other persons or groups to determine the quality and level of the performance and contribution.

D. The Process of Applying for Promotion under the 3% Rule

1. A faculty member may apply personally or may be nominated by his/her department for promotion under the 3% Rule. In any event, the burden of documentation rests with the applicant and/or the nominating department, if any.
2. All applications for promotion under the 3% Rule shall be made according to procedures and deadlines for promotion application established by the collective bargaining agreement and the Kutztown University Faculty Promotion Guidelines.

XVI. Doctoral Equivalency and the 3% Rule

For promotion purposes, doctoral equivalency and application of the 3% Rule are to be considered as completely independent of each other. Hence a person who applies for promotion to the rank of Professor under the doctoral equivalency will not be considered as applying under the 3% Rule, and, if promotion is granted, it will not be counted in the 3% quota specified in Act 182. On the other hand, a person may apply for promotion to the rank of Professor under the 3% Rule without having been granted the doctoral equivalency. Indeed, the 3% Rule is designed to apply to those faculty members who do not possess the earned doctorate or a recognized doctoral equivalency.

*There does not exist on the Kutztown University campus the position of Library Director.

Promotion Timetable

The events below must occur by the dates indicated.

- September 15 UPC elects its chairperson and reviews Faculty Promotion Guidelines. Candidate advised to notify his/her chairperson, Dean/Library Director* and Provost of intention to apply.
- October 1 DPC is selected and reviews its rules and procedures. UPC distributes Faculty Promotion Guidelines.
- October 10 DPC distributes its rules and procedures to the department.
- November 1 Candidate submits application to his/her chairperson. Last day for departmental chairperson to notify DPC of all promotion applications
- November 8 Departmental chairperson forwards applications to the DPC.
- November 15 Department chairperson submits full list of candidates to the UPC, with a copy to the appropriate Dean/Library Director** or manager. Departmental chairperson also sends Notification of Application form (including statement granting/not granting permission to UPC Chairperson access to candidate's personnel file) to the UPC Chairperson.
- Last four weeks of course Student evaluations completed for candidates.
- December 1 Peer evaluations completed for candidates by DPC and Department Chair.
- In December (after grades are in) DPC chairperson (or his/her designee) places results of all student evaluations conducted the fall semester of application and any peer evaluations not already included into the candidate's materials with 4 business days after the Registrar's deadline for submitting grades.
- January 15 DPC notifies candidate of its recommendation. A copy of any existing minority report is also forwarded to candidate. The candidate may then make a written request to appear before the DPC.
- January In early January, candidate contacts DPC chair to obtain promotion application file. Candidate delivers it to Rohrbach Library, Room 208, with a copy of fall schedule during the designated days and times announced by the UPC prior to and during the first business day after January 14 that the Library is open.
- February 1 Departmental chairperson submits recommendation for each candidate to UPC with a copy to the candidate. DPC submits recommendation for each candidate to the UPC. A copy of any existing minority report is also forwarded to candidate.

Dean/Library Director* submits recommendation to UPC & Candidate

- February 15 Deadline for candidate to submit written response to Dean's letter of recommendation.
- February 21 The Provost shall submit a recommendation to the UPC & Candidate (see X.B.3 above).
- March 1 Deadline for candidate to submit written response to Provost's letter of recommendation. (see X.B.3 above).
- April 15 UPC notifies the University President of its recommendation for each candidate.
- July 15 University President notifies each candidate of his decision and returns all promotion materials to the candidate.

Notification of Application for Promotion

This form is to be received by the Chairperson of the academic department on or before November 1 to comply with the Collective Bargaining Agreement, Article 16. B. 3 and 4 (2007). (The departmental chairperson is to forward a copy of this form to the University Promotion Committee.)

As of this date I have submitted to my department chairperson an application for promotion to the rank of _____.

I hereby grant the Chairperson of the University Promotion Committee access to my complete promotion application file and (check one) _____grant _____do not grant permission to review my university personnel files, for committee use, any material relevant to my promotion application. I understand that a list of all materials consulted by the committee but not submitted by me to the University Promotion Committee will be available to me at the time my promotion application materials are returned to me.

I have made an appointment with the Vice-President of Academic Affairs on _____(date) to discuss my fulfillment of the academic credit and years of service qualifications for this promotion application.

Effective date (month and year) of my:

A. Initial employment at Kutztown University:

B. Most recent promotion at Kutztown University, if applicable:

Type or Print Name

Signature of Promotion Applicant

Date

Instructions for Promotion Applicants

Promotion application procedure and timetables are outlined in the Kutztown University Faculty Promotion Guidelines. (Note: All "section" references on this page refer to these guidelines.)

As you apply for promotion, please follow these instructions

1. Study carefully the University Faculty Promotion Guidelines and the Collective Bargaining Agreement between APSCUF and PASSHE.
2. Be certain that you have satisfied the minimum qualifications for promotion to the rank sought. (See Sections II).
3. You shall meet with the Vice-President for Academic Affairs to review years of service and academic credits required for promotion.
4. Prepare in detail your application for promotion. Your application must include the following in the order given.
 - a. Up-to-date copy of your curriculum vitae.
 - b. Detailed and documented evidence of "Effectiveness in Teaching", "Continued Scholarly Growth and Mastery of Subject Material", and "Service: Contributions to the University and/or Community" as outlined in Section III and IV.A. of the Faculty Promotion Guidelines.

When listing your academic background, include institutions attended, dates of attendance, course work taken and degrees received. For any academic work you list, be sure that official transcripts are on file in the office of the University President. When providing all detailed evidence, include dates. (Note: Section IV.F. contains information with which you should be familiar).

- c. Include and document all additional evidence you wish to present in support of your application.
 - d. Promotion applicants should include **eight additional copies** of their vitae in their promotion materials.
5. Notify your department chairperson or supervisor, Dean and Provost **by September 15** that you are applying for promotion and request that he or she send to the University Promotion

Committee a letter of recommendation on your behalf. (See Section VI.)

6. Fill out a "Promotion Application" Form, attach it to your application materials and deliver the whole package to your department chairperson **no later than November 1, by 4:30 p.m.** Applications received after the deadline will not be considered. Deadlines are to be observed strictly by the applicant, department chairperson, the departmental promotion committee and the University Promotion Committee. "Promotion Application" forms can be obtained in your department office or from the chairperson of the University Promotion Committee.
7. On the same date as you submit your promotion application materials to your departmental committee, also fill out and sign a "Notification of Application for Promotion" form and submit it to the Chairperson of your department, again **no later than November 1 by 4:30 p.m.** This form can be obtained in your departmental office or from the chairperson of the University Promotion Committee.
8. For your information:
 - a. In early January contact your department promotion committee chair and obtain your promotion application file. Deliver it to Rohrbach Library, Room 208 with a copy of your fall schedule during the designated days and times announced by the University Promotion Committee prior to an during the first business day after January 14 that the library is open.
 - b. By **February 1**
 - (1) Your departmental promotion committee is to send its recommendation to the University Promotion Committee.
 - (2) Your department chairperson or supervisor is to send a letter of recommendation on your behalf to the University Promotion Committee.
 - (3). Dean/Library Director* submits recommendations to the UPC and candidate.
 - c. By **February 10** you must submit your request to the Chairperson of the University Promotion Committee if you wish to meet personally with the committee.
 - d. By **February 15** the candidate submits a written response to the Dean's letter of recommendation.
 - e. By **February 21** the Provost submits written recommendation to the UPC and candidate (see X.B.3).
 - f. By **March 1** the candidate submits a written response to the Provost's letter of recommendation (see X.B.3).
 - g. By **April 15** the University Promotion Committee is to submit its recommendation to the University President.
 - h. By **July 15** the University President is to have announced the results on all promotion applications.

9. Promotion applicants are responsible to work with chairpersons and department committees to be sure that all required materials are included with the application file delivered to the Rohrbach Library, Room 208.
10. Promotion applicants are responsible for ensuring that all deadlines are met and that all required material is included in the applicant's file when delivered to Rohrbach Library, Room 208. **IF DEADLINES ARE MISSED OR REQUIRED MATERIAL IS OMITTED, THE PROMOTION APPLICATION WILL NOT BE CONSIDERED BY THE UPC. ACCORDING TO APSCUF'S INTERPRETATION OF THE PROMOTION GUIDELINES, FALL STUDENT EVALUATIONS MUST BE INCLUDED IN EACH APPLICANT'S FILE BUT ARE ADDED TO THE FILE AFTER THE PROFESSOR TURNS IN HIS/HER FINAL GRADES FOR THE FALL SEMESTER.**
11. If you have any questions regarding promotion application procedures, contact the Chairperson of the University Committee.

PROMOTION APPLICATION

(PLEASE COMPLETE BOTH PAGES)

INSTRUCTIONS:

This form is to be submitted by the applicant to his/her department chairperson, who will forward it to the departmental promotion committee. After the departmental committee has made its decision, it will send this form, properly completed, to the University Promotion Committee (UPC). The complete application file must be delivered to the Rohrbach Library, Room 208, on or before the first business day after January 14, 2010 that the library is open.

TO ASSIST PROMOTION APPLICANTS, THE UPC NEEDS THE COOPERATION OF ALL THOSE INVOLVED IN THE PROMOTION GUIDELINES WHICH STATE "IDEALLY (PROMOTION) IS BASED UPON PROFESSIONAL PERFORMANCE BEYOND MERE SATISFACTORY OR PERFUNCTORY FULFILLMENT OF RESPONSIBILITY..." EVIDENCE TO BE CONSIDERED SHOULD BE "DEMONSTRABLE AND DOCUMENTABLE." THEREFORE, THE UPC REQUESTS THAT BOTH DEPARTMENTAL CHAIRPERSON AND DEPARTMENTAL PROMOTION COMMITTEE PROVIDE A WRITTEN EVALUATION OF THE QUALITY AND SIGNIFICANCE OF THE APPLICANT'S ACHIEVEMENTS.

NOTIFICATION TO DEPARTMENT CHAIRPERSON:

I hereby apply for promotion to the rank _____, effective September, 2010.

I have satisfied the minimum qualifications for promotion as set forth in State Act 182 and Section II of the Kutztown University Promotion Guidelines.

I am hereby notifying you, _____, my departmental chairperson or supervisor (see Section III of the guidelines), of my application, and I am requesting that you send a detailed (as per paragraph #2 of "Instructions" above) letter of recommendation to the University Promotion committee. A copy of this letter is provided to the applicant and the original must be received by the UPC Chairperson on or before February 1, 2010.

Applicant's Signature

Date

Departmental Chairperson's
Signature

Date

PROMOTION APPLICATION, PAGE 2

DEPARTMENTAL PROMOTION COMMITTEE RECOMMENDATION

Applicant Name (print or type) _____

(Departmental Promotion Committee: Please see Sections V-E, F, and G of the University Faculty Promotion Guidelines.)

1. Check A or B

_____A. We recommend that the applicant be promoted.

_____B. We recommend that the applicant not be promoted at this time.

2. A detailed letter supporting this recommendation must be attached per paragraph 2 of "Instructions" on page 1 of this form.

3. A copy of this form and the detailed letter must be provided to the applicant.

Signatures of the Departmental Promotion Committee:

