

**SLIPPERY ROCK UNIVERSITY**

**POLICIES AND PROCEDURES  
FOR FACULTY PROMOTION IN RANK**

**REVISED 2011**

REVISIONS PREPARED AND PROPOSED BY THE 2006-08 AD HOC COMMITTEE:  
WILLIAM MCKINNEY, CHAIR  
JERRY CHMIELEWSKI  
DEB COHEN  
MARIBETH KNAUB

  
\_\_\_\_\_  
William Williams  
President's Designee, SRU

  
\_\_\_\_\_  
Jace Condavy, President  
SRU/APSCUF

Date Ratified by SRU/APSCUF  
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## TABLE OF CONTENTS

<b>OVERVIEW.....</b>	<b>3</b>
<b>MASTERY OF SUBJECT MATTER IN THE DISCIPLINE.....</b>	<b>3</b>
<i>ELIGIBILITY CRITERIA.....</i>	<i>3</i>
<i>TERMINAL DEGREE EQUIVALENTS.....</i>	<i>4</i>
<b>RESPONSIBILITIES OF THE APPLICANT FOR PROMOTION.....</b>	<b>5</b>
<b>CONTRACTUAL ITEMS FOR THE APPLICANT FOR PROMOTION.....</b>	<b>5</b>
<b>TIMELINE FOR PROMOTION PROCEDURES.....</b>	<b>6</b>
<b>DEPARTMENT COMMITTEE COMPOSITION FOR DEPARTMENT PERSONNEL ACTIONS.....</b>	<b>8</b>
<b>CATEGORIES FOR PERFORMANCE REVIEW AND EVALUATION.....</b>	<b>9</b>
<b><i>EFFECTIVE TEACHING AND FULFILLMENT OF PROFESSIONAL RESPONSIBILITIES</i></b>	
<b><i>EFFECTIVE TEACHING.....</i></b>	<b>9</b>
<i>Teaching faculty and those with mixed workloads.....</i>	<i>9</i>
<i>Faculty whose basic responsibilities lie outside the classroom and those with mixed workloads.....</i>	<i>10</i>
<b><i>FULFILLMENT OF PROFESSIONAL RESPONSIBILITIES.....</i></b>	<b>11</b>
<b><i>CONTINUING SCHOLARLY GROWTH.....</i></b>	<b>12</b>
<b><i>SERVICE: CONTRIBUTIONS TO THE UNIVERSITY AND/OR COMMUNITY.....</i></b>	<b>12</b>
<b>REQUIREMENTS FOR FACULTY PROMOTION IN RANK.....</b>	<b>13</b>
<b>PROCEDURES FOR EVALUATING APPLICANTS FOR PROMOTION IN RANK...14</b>	
<b><i>PROCEDURES OF THE DEPARTMENT CHAIRPERSON.....</i></b>	<b>14</b>
<b><i>PROCEDURES OF THE DEPARTMENT PROMOTION COMMITTEE.....</i></b>	<b>15</b>
<b><i>POCEDURES OF THE UNIVERSITY PROMOTION COMMITTEE.....</i></b>	<b>17</b>
<b><i>PROCEDURES OF THE DEANS OR APPROPRIATE MANAGERS AND PROVOST..</i></b>	<b>20</b>
<b><i>PROCEDURES OF THE UNIVERSITY PRESIDENT.....</i></b>	<b>21</b>
<b>PROMOTION PROCEDURES FOR FACULTY WHO ARE EMPLOYED AT SRU FOLLOWING RETRENCHMENT AT ANOTHER PENNSYLVANIA STATE INSTITUTION.....</b>	<b>21</b>
<b>PROCEDURAL GUARANTEES.....</b>	<b>22</b>
<b><i>THREE PERCENT RULE.....</i></b>	<b>22</b>
<b><i>AFFIRMATIVE ACTION.....</i></b>	<b>23</b>

## **OVERVIEW**

Promotion occurs as a function of the judgment of designated peers about the quality of the performance of an applicant for promotion. A basic purpose of the promotion process is to recognize and reward excellence in: teaching effectiveness and fulfillment of professional responsibilities, scholarly growth, and service for faculty members. At its essence, the promotion process must go beyond considerations of either longevity or minimal statutory requirements. Promotion shall indicate distinctive professional performance. The process is designed to assist the faculty member in achieving optimum growth and maturation in the profession of education. The promotion process is to be a positive and vital one that protects the interests of the faculty, the students, and the institution. Promotion applications will be processed once yearly; those promotions granted will become effective at the beginning of the subsequent year.

### **CATEGORIES FOR EVALUATING APPLICATIONS FOR PROMOTION IN RANK**

Sources: Article 12, 16, Current CBA; P.L. 2111 as amended in 1963; Acts 182\* and 188; 1976, 1982, 1986, and 1996, 2005, and 2008 University Agreements

### **MASTERY OF SUBJECT MATTER IN THE DISCIPLINE**

This will be a criterion for making a promotion judgment. The credentials presented by a faculty member upon his/her appointment attest to the faculty member's command of the subject matter.

Minimum qualifications for ranks as specified in the applicable laws\* and additional qualifications as determined by the university concerning time in rank, years of teaching experience and length of service at the university are stated under Eligibility Criteria. Leaves without pay will not be counted as time in rank for purposes of promotion. However, sabbatical and paid sick leave will be counted as time in rank for purposes of promotion. Graduate degrees and preparation to meet qualifications will be earned in fields related to the service rendered to the university by the applicant for promotion. Legal minimums must be complete and verified. Years of teaching experience will include: elementary and secondary school experience, part-time teaching experience at the post-secondary level equating to full-time equivalent, but not assistantships.

### **ELIGIBILITY CRITERIA**

**Instructor** - Requires a bachelor's degree plus fifteen hours of graduate credits with at least three years of teaching experience.\*

**Assistant Professor** - Requires a master's degree plus ten hours of graduate credits with at least four years of teaching experience.\* To be recommended for promotion to assistant professor, a faculty member shall have been employed continuously at this institution in the rank of instructor for a **MINIMUM** of three years and may apply during the fall semester of the third year.

**Associate Professor** - Requires a doctoral degree, recognized equivalencies, a master's degree plus forty semester hours of graduate credits, or a total of seventy hours of graduate credits including the master's degree, or all course work completed toward a doctorate as verified by the university where the work is being taken, with at least five years of teaching experience.\* To be recommended for promotion to associate professor, a faculty member shall have earned credits in one's field or related field. A faculty member may apply during the fall semester of the third year.

**Professor** - Requires an earned doctoral degree or a recognized equivalency and at least seven years of teaching experience. Three percent of the full professorship allocated to the university may be granted on the basis of qualifications other than the earned doctorate or approved terminal degree when recommended by the president of the university.\* (See page 21). To be recommended for promotion to professor, a faculty member will have been employed continuously at this institution in the rank of associate professor for a minimum of five years and may apply during the fall semester of the fifth year.

### **TERMINAL DEGREE EQUIVALENTS**

The following have been approved by the PA SSHE Board of Governors as terminal degrees:

1. The master of fine arts for faculty who teach studio courses in the arts, if the applicant has received a total of at least 60 semester credit hours of related graduate preparation, whether those graduate credits were obtained while receiving the MFA degree or before or after receiving it.
2. The J.D. degree provided it is related to the service rendered to the university.

\*Note: Legal requirements are taken from Sections 2, 5, 6, of the Act of January 18, 1952, P.L. 2111, amended July 30, 1963, Act Number 182.

### **RESPONSIBILITIES OF THE APPLICANT FOR PROMOTION IN RANK**

1. Read and understand the SLIPPERY ROCK UNIVERSITY (SRU) PROMOTION POLICIES AND PROCEDURES FOR FACULTY PROMOTION IN RANK REVISED 2008 and Article 16 of the current CBA.
2. Maintain professional file and current curriculum vitae. Begin the application for promotion well enough in advance of the submission date so that all necessary documents are submitted by the date required.
3. Meet Mastery of Subject Matter in the Discipline (See Eligibility Criteria pages 3-4).
4. Provide substantiated evidence of excellence in all three Categories for Performance Review and Evaluation (Article 12B current CBA).

5. Submit two completed APPLICATION FOR PROMOTION IN ACADEMIC RANK forms and two files. Applicants are responsible for providing two applications/files that are exactly the same. The contents of the application must not exceed three inches in thickness.  
Text must be readable without magnification. PLEASE NOTE: Ineligible applications/files will be returned to the applicant from the university promotion committee by December 15. Applications/files found to be incomplete by the university promotion committee during deliberations will be returned after promotion deliberations.
6. Understand procedures and responsibilities of department chair and committee.
7. Indicate to the department chair, department committee and the university promotion committee, when appropriate, whether a meeting with them is requested. (See Timeline for Promotion Procedures.)
8. Request inspection of own official personnel file as desired.
9. Meet all deadlines as outlined in the Timeline for Promotion Procedures.
10. An applicant may withdraw his/her application for promotion at any step in the procedure. Readers should review this document and the current CBA to answer questions about the specific details of the procedural steps.

#### **CONTRACTUAL ITEMS FOR THE APPLICANT FOR PROMOTION IN RANK**

1. A faculty member will have the right to grieve, in accordance with Article 5, Grievance Procedure and Arbitration of the current CBA, 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 unit with regard to promotions will not be grievable. Representatives of local APSCUF will have the right to meet with department and university promotion committees to explain the duties and responsibilities of such committees.
2. According to Article 16,B,6 of the current CBA, if the department committee or chairperson fails to submit a recommendation to the university promotion committee by the appropriate date, the applicant may submit the applications/files directly to the university promotion committee.

## TIMELINE FOR PROMOTION PROCEDURES

DATE	RESPONSIBLE PARTIES	ACTION(S)	RECIPIENT OF ACTION(S)
All Prior Years	Applicant for Promotion	Reads SRU POLICIES & PROCEDURES FOR FACULTY PROMOTION IN RANK REVISED 2008; assists in arrangements for required peer classroom observation reports and student survey of course effectiveness; gathers needed documents; sorts material according to the three categories for Performance Review and Evaluation (pgs. 9-12).	
By Oct. 10	University Promotion Committee	Meets to review criteria and procedures with	APSCUF President and University President/Designee
By Nov. 01	Applicant for Promotion	Submits two applications/files to	Department Chairperson
By Nov. 01	Department Chairperson	1)Notifies and forwards one copy of the application/file to	Department Committee
		2)Informs applicant of the right to meet before recommendation is made	Applicant for Promotion
By Nov. 15	Department Committee	1) Determines applicant's eligibility for promotion as specified in applicable laws and promotion policies and completeness of application/file and sends notification of ineligibility and completeness to	Department Chairperson <b>Applicant for Promotion</b> University President/Designee
		2)Informs that application/file is received and of the right to meet with the committee before recommendation is made	Applicant for Promotion
By Dec. 01	Department Committee	Informs each applicant of and Chairperson	Applicants for Promotion recommendation
By Dec. 01	Department Committee and Chairperson	Independently of each other:	
		1 )Forwards applications/files separate from applications/files, Two copies of the recommendation/ evaluation form for each applicant to	University Promotion Committee and,
By Dec. 01	Department Chairperson	2) Forwards full list of applicants to	University Promotion Committee
		Forwards full list of applicants to	Deans/Appropriate Managers

## TIMELINE FOR PROMOTION PROCEDURES (continued)

DATE	RESPONSIBLE PARTIES	ACTION(S)	RECIPIENT OF ACTION (S)
By Dec. 15	University Promotion Committee	Determines eligibility of applications/files and  1) Returns ineligible applications/files to	Department Committee
By Dec. 15	University Promotion Committee	2) Forwards one copy of each eligible application/file to  3) Forwards one copy of department chairperson's and committee's recommendation/evaluation form for each applicant to	University President/Designee  Provost (if not President's designee)
		4) Informs that applications/files are received and of the right to meet with the committee before recommendation is made	Applicant for Promotion
By Dec. 20	University President/Designee	Forwards application/file without department chairperson's and committee's recommendation/evaluation forms to  Forwards application/file to	Deans/Appropriate Manager  Provost
By Jan. 31	Deans/Appropriate Managers	Send one copy each of Recommendation on applicants to  Sends two copies of recommendations to	Provost (if not President's designee), Applicant for Promotion  University Promotions Committee
By Feb. 15	Applicant for Promotion	May send response to Dean's/Appropriate Manager's recommendation to	University Promotion Committee
By Feb. 21	Provost (if not President's Designee)	Sends recommendations on applicants to	University Promotions Committee and Applicant for Promotion
By Mar. 01	Applicant for Promotion	May send response to Provost's (if not President's designee) recommendation to	University Promotion Committee
By Apr. 15	University Promotion	Sends all recommendations on all eligible applicants to	University President/Designee
By May 01	University President/Designee	Notifies University Promotion Committee in writing of rejection of committee recommendations and provides opportunity to discuss the matter	University Promotion Committee
By July 15	University President	Announces promotion decision to	Faculty
By July 30	University Promotion Committee	Provides written justification and suggestions for improving possibility of promotion in subsequent years to	Applicants who were not promoted

**PLEASE NOTE:**

**Should any due dates fall on a holiday or weekend, submit by the following scheduled working day.**

**DEPARTMENT COMMITTEE COMPOSITION FOR DEPARTMENT PERSONNEL ACTIONS (PROMOTION/TENURE/SABBATICAL/EVALUATIONS)\***

- I. When only the department chair applies:  
When the chair is the only member of a department who applies, the department shall elect, by secret ballot, one department member (who is not on the department committee for the action) to write a performance review of the department chairperson's fulfillment of responsibilities and other categories used in the process.
  - II. When the chair and other department members apply for the same action:
    - A. One department member, elected by secret ballot by the department, and not on the committee, shall read the applications and write performance reviews of the candidates.
    - B. The duly elected department member shall be responsible for reading the applications and making a recommendation on the candidates applying for promotion at the same level as the chairperson.
  - III. In either situation:
    - A. These reviews shall be clearly marked "FOR PROMOTION [TENURE/SABBATICAL/etc.] - AD HOC CHAIR REVIEW."
    - B. The University Wide committee shall utilize these reviews as though they had been written by the regular department chairperson.
  - IV. When a department is too small to meet the required minimum of three regular full-time members on a committee:
    - A. Each applicant shall submit to the department committee and the university a list of at least two but no more than four names of faculty members from other departments who:
      1. Are willing to serve on the department committee, and,
      2. Have some knowledge of the applicant's performance in some of the categories used for evaluation.
    - B. The department shall elect, by majority vote in a secret ballot, a sufficient number of persons from the list of nominees to bring the department committee to the minimum membership of three.
- C. If no names on the list are acceptable the CBA (Article 12,C,1,a) shall apply.

\*Revised March, 2008; Jace Condravy, SRU APSCUF President; Robert Smith, SRU President  
Reaffirmed under Article 43 B.of the July 1,2007 to June 30, 2011 APSCUF Agreement



## CATEGORIES FOR PERFORMANCE REVIEW AND EVALUATION

The following categories will be applied in the performance review and evaluation of all applicants for promotion. While Effective Teaching is the most important category, Continuing Scholarly Growth and Service: Contributions to the University and /or Community are also important. Applicants should provide evidence that is as objective as possible, selecting the most appropriate category under which to include it. When evaluating the data, the appropriate evaluator(s) will give greater consideration to the quality of the performance reflected in the data, than to the quantity of data.

### I. EFFECTIVE TEACHING AND FULFILLMENT OF PROFESSIONAL RESPONSIBILITIES

Evaluation of effective teaching and fulfillment of professional responsibilities will not be based on a single datum. All material and reports referred to must be included with the application. Any observation or evaluation that contains sweeping generalizations of a subjective nature without substantive data will not be considered.

#### A. EFFECTIVE TEACHING

##### 1. Teaching faculty and those with mixed workloads:

Effective Teaching is the most important, but not the sole, category for making a promotion judgment for teaching faculty and those with mixed assignments. Competence in this category **must** be substantiated by evidence that **must** include, but need not be limited to the following:

- a. Student evaluations for all courses that comprise the regular contractual academic assignment (excluding overload) per the university official record for the most recent four semesters during which the faculty member taught will be included in the application.  
To ensure student privacy, the following shall apply: 1) Department of Art: Each studio course within the 200-400 level shall be assigned one course number for student evaluation purposes; 2) Department of Music: Each applied music area and each music ensemble within the 100-400 level shall be assigned one course number for student evaluation purposes.  
It is the responsibility of the applicant to ensure that student evaluations for all courses area supplied. In the narrative, the applicant must acknowledge and explain why student evaluations for all courses are not included to the committee and include appropriate documentation.
- b. Current (for the most recent four semesters during which the faculty member taught) peer observation reports of teaching (at least one per academic year) done by the applicant's department committee members or their designees or chairperson on the approved form;

- c. A full performance review which consists of annual evaluation reports for probationary faculty or tenure evaluation report or 5<sup>th</sup> year evaluation report for tenured faculty from the department committee, department chairperson and dean;
- d. Sample course syllabi or other student materials prepared by the applicant and used in the classroom;
- e. Sample evaluative techniques and assignments used by the applicant.

Evaluation of teaching must be based on whether the particular methods employed by the faculty member are likely to produce the results required. The evidence listed in 1a.-e. as well as any other documentation must reveal the following for teaching faculty:

### **Competence in the conduct of classes**

Among the qualities to be used to evaluate performance in this area are the ability to maintain appropriate course content of high quality, to communicate ideas effectively, to use appropriate teaching techniques and teaching aids, and to employ opportunities for small group instruction provided at the university. The principle instruments to be used to judge this competence are department peer classroom observation reports and student survey of course effectiveness.

### **Ability to organize information**

This refers to the organization of materials in individual classes and in the course as a whole. Department peer classroom observation reports and student survey of course effectiveness provide a partial report. Additional sources include course syllabi, bibliographies, outlines of laboratory work or special projects, etc.

### **Ability to invoke student response and to assess student achievement**

Student response and achievement are assessed through student participation in discussions, quizzes, assignments, reading and problem assignments, research papers, laboratory work, special projects, and out-of-class contact between faculty and students. The faculty member's ability to use these methods is documented through department peer classroom observation reports, student survey of course effectiveness, reports of faculty activities, and evaluations of examinations and paper assignments.

### **Innovations in teaching**

An important activity of the successful teacher should be to experiment with new or different teaching methods to match the ability and interests of students and the changing needs of the curriculum. This type of activity is assessed in part by department peer classroom observation reports.

## **2. Faculty whose basic responsibilities are outside the classroom and those with mixed workloads**

For all faculty members whose basic responsibilities lie outside the classroom, the duties and responsibilities of the position will be the category instead of effective teaching. For faculty members with mixed work assignments, Effective Teaching (see pages 9-10) and the duties and responsibilities of the position will be evaluated under the terms of this category. For these faculty (e.g., department chair, athletic director(s), athletic trainers, counseling center, academic services, etc.) competence in this category **must** be substantiated by evidence that **must** include, but need not be limited to the following:

- a. An official job description, which will be the basis of the evaluation;
- b. A substantiated narrative by the applicant of his/her abilities in meeting responsibilities of the position as described in the official description;
- c. A full performance review which consists of annual evaluation reports for probationary faculty or tenure evaluation report or 5<sup>th</sup> year evaluation report for tenured faculty from the department committee, department chairperson and dean.

## **B. FULFILLMENT OF PROFESSIONAL RESPONSIBILITIES**

This category involves the execution of professional responsibilities, consistent with the objectives of the university. Failure to meet these requirements will preclude consideration for promotion. Fulfillment of Professional Responsibilities will be assessed as part of the full performance review by the department committee, the department chairperson, and dean; however, the applicant may also provide evidence of his/her performance of these basic responsibilities. The department committee, the department chairperson, and dean will use their respective evaluation forms to indicate to what extent the applicant has met professional responsibilities which include, but need not be limited to the following:

- Provides quality student advisement (e.g., SRU-APSCUF Student Opinion of Academic Advising);
- Provides prompt, and when possible, advance reporting of any changes in class hours or classrooms assigned;
- Prepares for and meets assignments, with timely notification to the proper authority in case of absence;
- Keeps office hours with a minimum of 5 hours per week on 3 different days for teaching faculty;
- Fairly evaluates and promptly reports student achievement;
- Reports promptly and in advance, if possible, absence due to illness;
- Accepts those reasonable duties assigned within the field of competence;
- Preserves and defends the goals of the university with the right to advocate change;
- Recognizes and attempts to meet department goals and stated standards of performance with the right to advocate change;
- Willingly accepts department work assignments;
- Provides timely execution of work assignments;
- Participates in group deliberations.

If the department chairperson or department committee indicates that the applicant has failed to meet these basic responsibilities, evidence must be included to verify the finding. Generalities are not acceptable for judging Fulfillment of Professional Responsibilities of the applicant.

**II. CONTINUING SCHOLARLY GROWTH is a category for making a promotion judgment.** The following items are not in priority order nor are ALL items expected to be included in any individual application/file. Under this category the applicant will provide evidence which may include but need not be limited to the following:

- Development of experimental programs (including distance education);
- 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;
- Additional graduate work beyond minimum requirements for the rank;
- Research projects and publication record;
- Contribution to the scholarly growth of one's peers;
- Development/presentation of workshops;
- Research in progress with documentation of its status;
- Testimony of experts in the discipline or related disciplines;
- Exhibitions;
- Attendance and participation in professionally organized workshops, institutes, seminars, symposiums, short courses, etc., related to the discipline;
- Participation in professional organizations which advance a professional field or discipline;
- Development of new scholarly or practical insights.

**III. SERVICE: CONTRIBUTIONS TO THE UNIVERSITY AND/OR COMMUNITY is a category for making a promotion judgment.** Under this category the applicant will provide evidence which may include, but need not be limited to the following:

- Quality of participation in program, department, college, school, and university committees, which should be named and classified as program, department, college, school, university. Show manner of participation (member, chairperson, secretary,

- etc.); show time demand of the committee (meetings once a week all semester, four times a year, etc.); show term of participation.
- APSCUF activity contributing to the governance of the university;
  - Development of new course(s) or program(s); quality of curriculum development. Describe course, program proposals or revisions which have benefited the department, college, school, or university;
  - Training or assisting other faculty members in the use of distance education technology;
  - Participation in university colloquia;
  - Special individual assignment. Give the name of the assignment, by whom it was made, the time involved, a descriptive paragraph explaining the assignment;
  - Significant contribution to student organizations or activities. Indicate the organization or activity; tell the contribution and the time demand;
  - Significant contribution to university governance other than covered in items above;
  - Voluntary membership in professionally oriented, community based organizations reasonably related to the faculty member's discipline. Show professional capacity with the group; show the recognition that has come to the university as a result of this community work;
  - Lectures and consultations; give the name of the group and the kind of consultantship;
  - Consulting with local and area agencies and organizations;
  - Other miscellaneous service provided to the community. Show its relationship to personal and/or professional growth and its benefit to the university.

### **REQUIREMENTS FOR FACULTY PROMOTION IN RANK**

For a faculty member to be recommended for promotion in rank, s/he must receive a “yes” in Mastery of the Subject Matter in the Discipline and the required rating of “excellent” in all three Categories for Performance Review and Evaluation. Terms used to show degree of competency are “excellent”, “good”, “average”, and “below average”. The terms used will be defined for each rank by the collective judgment of the department and university committees. This evaluation will be as consistent as possible among the various disciplines and will take into account the past performance and future promise of the applicant. Department committees, department chairpersons, university promotion committee and administration will employ the same criteria when evaluating applications/files for promotion.

The differentiation in requirements for faculty rank implies a rising level of expectancy of performance for a faculty member over time.

## **PROCEDURES FOR EVALUATING APPLICANTS FOR PROMOTION IN RANK**

### **A. PROCEDURES OF THE DEPARTMENT CHAIRPERSON**

1. By October 1 of each academic year, the department chairperson will direct the department faculty to elect the members of the department committee and will convene the first meeting of the department committee and conduct the election of the department committee chairperson.
2. No department chairperson will evaluate his/her own application/file for promotion or the application/file of a member of his/her immediate family\* or a person residing in his/her household. The department will elect another faculty member in the department acceptable to the department and management to substitute for the department chairperson. (See procedures on page 8 of this document).
3. Prior to October 1, the department chairperson will become entirely familiar with Article 16 of the current CBA and with the SRU PROMOTIONS POLICIES AND PROCEDURES FOR FACULTY PROMOTION IN RANK REVISED 2008 and thoroughly cognizant of the rules and due dates in all parts of these documents.
4. By November 1 of each academic year the department chairperson will receive two applications/files from applicants and will immediately forward one copy to the department committee. S/he will not accept new evidence in support of the application after the November 1 deadline.
5. The applicant for promotion will be advised of his/her right to meet with the department chairperson before the department chairperson makes his/her recommendation.
6. By December 1 the department chairperson will forward two copies of the completed DEPARTMENT CHAIRPERSON'S RECOMMENDATION AND EVALUATION OF APPLICANT FOR PROMOTION IN RANK form with evaluative report attached for each promotion applicant, and separately, the application/file to the university promotion committee only. The evaluative report will include Mastery of Subject Matter in the Discipline and all three Categories for Performance Review and Evaluation included in this document with the chairperson's substantiated description indicating to what extent the applicant meets the requirements for promotion to rank sought. In the event the applicant has not met Mastery of Subject Matter in the Discipline and/or is not rated "excellent" in the three Categories for Performance Review and Evaluation, the department chairperson will provide evidence for his/her judgment.
7. The department chairperson must rate the applicant with a "yes" in Mastery of Subject Matter in the Discipline and "excellent" in all three Categories for Performance Review and Evaluation to be recommended for promotion in rank.
8. By December 1 a full list of applicants will be forwarded to the university promotion committee.
9. The department chairperson will forward a full list of applicants for promotion without recommendations to the dean/appropriate manager.

10. The department chairperson's evaluation must be conducted independently of the department committee's evaluation.
11. By December 1 the department chairperson will inform each applicant of the recommendation. The chairperson will take the further responsibility of substantiating his/her recommendations, and for providing suggestions that may lead to a favorable outcome in the future.

\* CBA, Article 16, B. 5

## **B. PROCEDURES OF THE DEPARTMENT PROMOTION COMMITTEE**

1. Prior to October 1 of each academic year, the department will elect a promotion committee that may be the same as or different from the department evaluation committee. The department promotion committee will receive and evaluate applications/files for promotions from the department faculty members.
2. The department committee will consist of at least three (3) regular full-time members, excluding the department chairperson, applicants, and members of applicant's immediate family or a person residing in his/her household. No faculty member or a member of his/her immediate family or a person residing in his/her household may serve on the department committee and concurrently apply for promotion. In the event that an insufficient number of eligible faculty members remain to form a department committee, the procedure identified in the current CBA will be utilized to form a department committee. (See page 8 of this document for procedures).
3. Prior to the beginning of its work on November 1, the department committee will meet and become entirely familiar with Article 16 of the current CBA and with the SRU PROMOTIONS POLICIES AND PROCEDURES FOR FACULTY PROMOTION IN RANK REVISED 2008 and thoroughly cognizant of the rules and due dates in all parts of these documents and will announce the rules and procedures under which it will operate to the department faculty.
4. By November 1 the department committee will receive one application/file for each promotion applicant from the department chairperson. The department committee will not accept new evidence in support of the application after the November 1 deadline.
5. The applicant for promotion will be advised of his/her right to meet with the department committee before the department committee makes their recommendation.
6. The department committee will verify Mastery of Subject Matter in the Discipline (see Eligibility Criteria on page 3-4), which includes education (academic credits) and professional experience (years of teaching experience and years at the university) as listed on the APPLICATION FOR PROMOTION IN ACADEMIC RANK form. The department committee will verify that the applicant has signed the APPLICATION FOR PROMOTION IN RANK form that gives written permission from promotion applicant to have access to his/her personnel files for the purpose of verifying eligibility. In the event

the department committee finds the applicant ineligible for promotion to the rank sought, it will inform the applicant, the department chairperson and the university president or his/her designee by November 15, explaining the basis for the finding and allowing the applicant to withdraw the application. If the applicant does not wish to withdraw the application, s/he may submit the question of eligibility to the university promotion committee for determination of eligibility.

7. The department committee will thoroughly examine the application/file for completeness by checking for required materials as indicated in this document and on the APPLICATION FOR PROMOTION IN ACADEMIC RANK form. In the event the department committee finds the application/file incomplete for promotion to the rank sought, it will inform the applicant, the department chairperson and the university president or his/her designee by November 15, explaining the basis for the finding and allowing the applicant to withdraw the application/file. If the applicant does not wish to withdraw the application, s/he may submit the question of completeness to the university promotion committee for determination of completeness.
8. The department committee will maintain confidentiality regarding deliberations.
9. By December 1 the department committee will forward two copies of the completed DEPARTMENT COMMITTEE'S RECOMMENDATION AND EVALUATION OF APPLICANT FOR PROMOTION IN RANK form with evaluative report attached for each promotion applicant, and separately the application/file to the university promotion committee only. The evaluative report will include Mastery of Subject Matter in the Discipline and all three Categories for Performance Review and Evaluation with the department committee's substantiated description indicating to what extent the applicant meets the requirements for promotion to rank sought. In the event the applicant has not met Mastery of Subject Matter in the Discipline or is not rated "excellent" in the three Categories for Performance Review and Evaluation, the department committee will provide evidence for their judgment.
10. The department committee must rate the applicant with a "yes" in Mastery of Subject Matter in the Discipline and "excellent" in all three Categories for Performance Review and Evaluation to be recommended for promotion in rank.
11. By December 1 a full list of applicants will also be forwarded to the university promotion committee.
12. The department committee's evaluation must be conducted independently of the department chairperson's evaluation.
13. By December 1 the department committee will inform each applicant of his/her recommendation and will have the further responsibility of substantiating its recommendations to the applicant and, when appropriate, for providing suggestions that may lead to a favorable outcome in the future.



## C. PROCEDURES OF THE UNIVERSITY PROMOTION COMMITTEE

### COMPOSITION AND ORGANIZATION OF THE COMMITTEE

1. All tenured members of the faculty who are not applicants for promotion and do not have a member of his/her immediate family or a person residing in his/her household applying for promotion, are eligible to be nominated for election to the committee through the APSCUF campus wide nominating process.
2. The APSCUF election system will ensure the right of all regular faculty members of the bargaining unit to vote for university promotion committee members.
3. No more than one member of a department may serve on the university promotion committee in an academic year.
4. When an elected faculty member of the university promotion committee is an immediate family member or a person residing in the household of the applicant, s/he will resign from the committee.
5. The university promotion committee will consist of membership as determined by the SRU/APSCUF bylaws, but will include no less than five nor more than 15 members.
6. The elected members will serve three-year terms of office with one-third of the committee newly elected each year.
7. If a vacancy should occur in the university promotion committee, the Nominations & Elections Committee will solicit nominations and conduct a special election to fill the vacated position.
8. Although elected from individual colleges, the members of the university promotion committee represent the faculty as a whole and DO NOT represent any particular school, college or department.

### COMMITTEE PREPARATION FOR ITS WORK

1. By October 10 of each academic year the university promotion committee will organize itself and establish its rules of procedure. Because the university promotion committee often must meet outside regular office hours, procedures will be established to make applications/files for promotion accessible to it at its convenience. The university promotion committee will meet with the president of APSCUF or his/her designee to review its rules of procedure.
2. By October 10 of each academic year the university promotion committee will meet with appropriate administrators to review guidelines and categories to assure common interpretation and understanding prior to the review of applications/files for promotion.
3. The university promotion committee will oversee the publication and distribution of the approved SRU PROMOTIONS POLICIES AND PROCEDURES FOR FACULTY PROMOTION IN RANK REVISED 2008 and any subsequently adopted implementation procedures to the faculty.

## COMMITTEE EVALUATIVE PROCEDURES AND RULES

1. By December 1 of each academic year the university promotion committee will receive promotion applications/files from departments and determine eligibility. When, according to these policies and procedures for promotion, an applicant is ineligible for promotion to the rank sought, the university promotion committee will return the applications/files to the department chairperson and committee with its reasons by December 15. The university president or his/her designee will also be informed of the determination of ineligibility and the reasons by December 15. The applicant will be permitted to withdraw the application when notified by the department chair and committee that the university promotion committee has found him/her to be ineligible.
2. By December 15 the university promotion committee will forward one copy of each eligible application/file to the university president or his/her designee to provide administration the same amount of time with the application/file as the committee and one copy of the DEPARTMENT COMMITTEE'S RECOMMENDATION AND EVALUATION OF APPLICANT FOR PROMOTION IN RANK form and the DEPARTMENT CHAIRPERSON'S RECOMMENDATION AND EVALUATION OF APPLICANT FOR PROMOTION IN RANK form to the provost, unless the provost is the president's designee. In the event that the provost is named as the president's designee for making decisions about promotions, then the provost will not make a recommendation.
3. By December 15 the university promotion committee chairperson will inform each applicant that his/her application/file has been received by the committee and will advise that the applicant may request to appear before the committee.
4. In recognition that the university has a statutory, contractual and obligation to advance equal employment opportunity through affirmative action, the Diversity and Equal Opportunity Director of the university will be invited to attend mutually agreed-upon university promotion committee meetings at each level, to gain insight into the nature of the evaluation process and the quality of attention given each applicant's candidacy.
5. If the university promotion committee is not satisfied with the justification the department chairperson, department committee, dean or provost makes for its recommendations, the university committee will return the matter to the department chairperson, department committee, dean, and/or provost with the nature of the requested clarification. The university promotion committee may then evaluate the department chairperson's, department committee's, deans, or provost's recommendations and response and make its own evaluation.
6. Regardless of the department chairperson's or committee's recommendations, deans' or provost's recommendation, the university promotion committee will review each application/file and make its own recommendations.
7. Each application/file will be judged on the extent to which the applicant has met the Categories for Performance Review and Evaluation appropriate for the rank.
  - a) All university promotion committee members have the specific responsibility to carefully read each application/file for promotion.

- b) The university promotion committee will then discuss all applications/files.
  - c) All of the university promotion committee members will make the final judgment on the application/file with each member rating each of the three Categories for Performance Review and Evaluation with an “excellent”, “good”, “average”, and “below average”. When there are wide differences between university committee members’ ratings on any category, the committee will make the final resolution.
  - d) By January 31 the university promotion committee will receive the substantiated recommendations of applicants with justifications based on Mastery of the Subject Matter in the Disciplines and three performance review and evaluation categories from deans or appropriate manager for Academic Services, Library, Counseling Center and Athletic Training faculty, which will be considered in the final committee rankings (each dean or appropriate manager is responsible for the promotion applicants in his/her area).
  - e) By February 21 the university promotion committee will receive the recommendations of the applicants with the four categorical justifications from the provost, unless the provost is the president’s designee, which will be considered in the final committee rankings.
  - f) When the university promotion committee has completed its deliberations it will rank the recommended applicants. Those not recommended for promotion will be listed alphabetically. These listings will be written over the signatures of all of the university promotion committee members and sent to the university president or his/her designee along with copies of the recommendations of the department chair, department committees, deans/appropriate managers, and provost by April 15.
8. The university promotion committee may consider information, testimony or other evidence apart from that supplied by the applicant, the department chairperson, and the department committee, the dean, and provost but will not entertain such material unless submitted at its own request and unless it is relevant to the categories described in this document. In the event information, testimony or other evidence, apart from that supplied by the applicant, is considered, the applicant will be provided with a copy of all such information, testimony or other evidence, and will be provided with an opportunity to respond prior to the committee’s recommendation.
  9. Applications/files found to be incomplete will not be considered for promotion by the university promotion committee and will be returned to applicants at the end of the deliberations. Providing false claims is also grounds for not recommending an applicant. In case, the university president or his/her designee will be notified.
  10. The university promotion committee will maintain confidentiality regarding their deliberations.
  11. The applicant will have access to copies of all documents reviewed by the university promotion committee and a log of sources of information considered by the committee for his/her application only.

## COMMITTEE RECOMMENDATIONS PROCEDURES

1. The chairperson(s) of the university promotion committee will forward the full list of applicants, ranked and unranked (not recommended), together with the university committee, department chairs' and committees', deans', and provost's recommendations, to the university president or his/her designee. "Full list" means the list of all applicants who have been found eligible to be considered for promotion by their department committees, their department chairperson and by the university promotion committee according to Act 182 and Act 188 and the university time in rank agreements. Eligibility is based on years of service and graduate credits beyond the master's degree earned at an institution, which grants a terminal degree in the applicant's field.
2. In the event the university president or his/her designee rejects a recommendation of the university promotion committee, he/she will notify the committee in writing and will provide an opportunity to discuss the reasons for the rejection.

## FOLLOW-UP PROCEDURES OF THE COMMITTEE

1. After the final decisions and announcements on promotion have been made by the university president or his/her designee, the university promotion committee will forward its written statement concerning the application/file and committee recommendations to the applicant by July 30. The statement will substantiate the committee's recommendation which is based on Mastery of Subject Matter in the Discipline and the three Categories for Performance Review and Evaluation. In the event the committee has recommended that the applicant not be promoted, the statement to the applicant will provide suggestions that may lead to a favorable outcome in the future. The applicant will make the decision to place that statement in his/her personnel file.
2. The committee chairperson(s) will retain the applications/files until after the committee's meeting with the university president or his/her designee. Upon completion of the meeting the original applications/files will be returned to the applicants. Applicants are entitled to copies of all documents reviewed by the university promotion committee.

## **D. PROCEDURES OF THE DEANS OR APPROPRIATE MANAGERS AND PROVOST**

1. No dean/appropriate manager/provost will 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.
2. By December 20 of each academic year, each dean or appropriate manager will have access to a copy of the eligible promotion application/file without department chairperson's and department committee's recommendation/evaluation forms for applicants in his/her division. In making his/her recommendation, the dean or appropriate manager is not permitted to review the recommendations of the department chairperson or the department committee prior to submitting his/her recommendation to the University Promotion Committee.

3. By January 31 of each academic year, each dean or appropriate manager will review the applications/files and send a substantiated recommendation based on Mastery of Subject Matter in the Discipline and the three performance review and evaluation categories simultaneously to the provost, unless the provost is the president's designee, the university promotion committee and the applicant, who may submit a written statement to the university promotion committee addressing the dean or appropriate manager's recommendation by February 15. In the event that the provost is named as the president's designee for making decisions about promotions, then the provost will not make a recommendation. In such cases, only the dean/appropriate manager will submit a recommendation.
4. By February 21 of each academic year, the provost, unless he/she is the president's designee (in the event that the provost is named as the president's designee for making decisions about promotions, then the provost will not make a recommendation) will review the applications/files and respective department chair, department committee, and dean or appropriate manager recommendations and send a recommendation based on Mastery of Subject Matter in the Discipline and the three performance review and evaluation categories for each applicant simultaneously to the university promotion committee and the applicant, who may submit a written statement to the university promotion committee addressing the provost's recommendation by March 1.

#### **E. PROCEDURES OF THE UNIVERSITY PRESIDENT**

1. The university president or his/her designee will meet with the university promotion committee prior to the promotion process each academic year to review the categories and the process for promotion.
2. The university president or his/her designee, provost, and deans will employ the same criterion and categories described within this document and described in Article 16 of the current CBA to evaluate all promotion applications/files.
3. In the event the university president or his/her designee rejects a recommendation of the university promotion committee, s/he will notify them in writing and provide the opportunity to discuss the matter prior to making a decision.
4. The university president or his/her designee will carry out promotion decision procedures with proper regard for rights of the promotion applicant.

#### **PROMOTION PROCEDURES FOR FACULTY WHO ARE EMPLOYED AT SRU FOLLOWING RETRENCHMENT AT ANOTHER PENNSYLVANIA STATE INSTITUTION**

When a tenured faculty member is retrenched from his/her state university in the Pennsylvania State System of Higher Education and is subsequently employed at Slippery Rock University, s/he must serve one probationary year and be granted tenure at Slippery Rock University before s/he is eligible to apply for promotion. If promotion is sought, legal requirements for the rank sought must be met, according to Act 182, Act 188 and as described under the topic of

**MASTERY OF SUBJECT MATTER IN THE DISCIPLINE** in this document. Prior service and years at the other PSSHE institution will be counted toward the time in rank requirements, so that to be eligible for promotion at Slippery Rock University, no more than one additional year (The Probationary Year) will be required for the retrenched faculty member who was previously tenured.

## **PROCEDURAL GUARANTEES**

### **THREE PERCENT RULE**

Article 16, Section A, Item 1 of the current CBA says that "the minimum qualifications for ranks shall be as specified in the applicable laws." Applicable Law" is conceded to be Act No. 182, which provides as follows in pertinent part:

Not more than thirty percentum of the total number of faculty at any state college shall be approved for classification as professor, except where a member of the faculty has been an associate professor for at least three years when recommended by the president of the college and approved by the board of trustees. Of the thirty percentum, three percentum of the faculty may be granted full professorships on the basis of qualifications other than the doctorate when recommended by the president of the college and approved by the board of trustees.

An arbitrator's decision on the interpretation of this law was made on January 16, 1980, from a case brought by California State College. The APSCUF position was that the number of full professor positions under the three percent rule should be calculated as (3%) of the total faculty complement. The college president's position was that when thirty (30%) of the faculty hold the rank of full professor, then the three percent rule does not apply. The arbitrator was not persuaded that the three percent rule would apply when the ratio of full professors to the total number of faculty exceeds thirty percent and denied the grievance which had been filed by APSCUF for the California State College faculty.

For purposes of determining the number of eligible faculty under the 3% rule, as stated in Act 182 and clarified by the January 16, 1980 arbitrator's decision, the number of full professor positions available shall be determined by the ratio of full professors to the entire faculty complement. Those eligible for promotion under the 3% rule, as stated and clarified, must fulfill all other agreed-upon requirements necessary for promotion to the rank of full professor.

**AFFIRMATIVE ACTION**

In recognition that the university has a statutory and contractual obligation to advance equal employment opportunity through affirmative action, the Diversity and Equal Opportunity Director of the university will be invited to attend mutually agreed-upon university promotion committee meetings at each level, to gain insight into the nature of the evaluation process and the quality of attention given each applicant's candidacy. The campus Diversity and Equal Opportunity Director will provide rapid, informed feed-back to the decision making bodies and individuals involved concerning any perceived areas of difficulty.