

August, 2012

TO: Paul Quinn F. Javier Cevallos
 Chapter President President
 Kutztown University Kutztown University

FROM: Mark Cloud  Michael Mottola 
 APSCUF PA State System of Higher Education

Date 8/17/12 Date 8/17/2012

RE: Statement of Promotion Policies and Procedures

This memorandum acknowledges that your attached Statement of Promotion Policies and Procedures has been approved by State Meet and Discuss.

Attachment

cc: Pennsylvania State System Meet and Discuss Team
 APSCUF State Meet and Discuss Team



APSCUF-KU and Management agree to the attached changes to the Promotion Guidelines (2008) as approved by the Representative Council, April 12, 2012 and subsequent changes.

Carole V. Miller 7/20/12
For Management Date

Approved:

Paul V. [Signature] 7/20/12
For APSCUF-KU Date

Faculty Promotion Guidelines

(December 1982 updated to August 2012)

PROMOTION MATERIALS CHECKLIST

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 in writing of his/her intention to apply for promotion with a copy to Dean and Provost	_____	_____
Nov 1	Candidate submits a copy of application & promotion materials to the Department Chairperson and to the Department Promotion Committee (DPC)	_____	_____
Fall Sem.	Evaluation of performance of duties that lie outside of the classroom setting (Article 16.A.3 of CBA (2007))	_____	_____
Fall Sem.	Period of Student evaluations of all classes and labs for fall semester of year of application	_____	_____
Before Dec 1	Candidate meets with provost or designee to review eligibility and submits a copy of the proof of eligibility to the University Promotion Committee (UPC) chairperson.	_____	_____
Dec. 1	Peer classroom evaluation(s) by DPC and Department Chairperson for fall semester of year of application	_____	_____

Near Jan 14	Candidate delivers Promotion Materials and 8 copies of both application letter and vita (promotion application file) to Old Main, Rm. 22C	_____	_____
Jan 15	DPC submits its recommendation letter to candidate	_____	_____
Feb. 1	Department Chairperson forwards 8 copies of his/her recommendation to Chair of UPC	_____	_____
Feb. 1	DPC Chair forwards 8 copies of DPC's 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	The Provost shall submit a recommendation to the UPC no later than February 21, with a copy fto the faculty member.*	_____	_____
April 15	UPC recommendation forwarded to University President or designee	_____	_____
July 15	President or designee announces decision regarding promotions	_____	_____

* 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.

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

**Faculty Promotion Guidelines
(December, 1982 updated to August 2012)**

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) of this document.

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 is eligible for 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 is eligible 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 (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 corresponding 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.
- D. In certain exceptional cases, with the approval of the Provost, a faculty member without tenure, but with unusually high qualifications, may be eligible to apply for a promotion in the third or fourth year to be effective in either his/her fourth or fifth year of employment. Regardless of the exception, faculty members must fulfill the minimum length of service required under the law. In cases where exceptions are approved, the Provost will notify the faculty member's dean, Department Chairperson, the department promotion committee, and the UPC, prior to the promotion application deadline.

III. Fulfillment of Professional Responsibilities

Consideration for promotion will be given only to those faculty members 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, Department Chairperson, and the Department Promotion Committee (DPC).

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, timely execution of work assignments and any other data deemed appropriate and agreed to by the FACULTY and Administration at local Meet & Discuss. 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.
 2. For all FACULTY MEMBERS whose basic responsibilities lie outside the classroom, the duties and responsibilities of the position shall be the category instead of effective teaching.
 3. For FACULTY MEMBERS with mixed work assignments, effective teaching and the duties and responsibilities of the position shall be evaluated.
 4. Evidence of continuing scholarly growth will include, when applicable: 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; research projects and publication record; additional graduate work; contribution to the scholarly growth of one's peers, and any other data agreed to by the FACULTY and Administration at local Meet & Discuss. Evaluation of continuing scholarly growth will not be based on a single datum.
 5. 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; advising 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, and any other data agreed to by the FACULTY and Administration at local Meet & Discuss. Service and contribution to the University and/or community will not be based on a single datum.

- 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 evaluated.
- C. The DPC shall evaluate 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 effectiveness in teaching and fulfillment of professional responsibilities, continuing scholarly growth and 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 and, continuing scholarly growth and service and contribution to the university and/or community, 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 any faculty member who initiates graduate study after having joined the University discuss program and course relevance (to major teaching responsibilities) with appropriate members of his/her department. (Appropriate members would at least include the chairs of both the department and the departmental promotion committee.) Decisions on these matters should be summarized in a written document confirming the understanding and

agreement reached, and when possible, this should be done before the degree program and/or course work are begun. The UPC will regard this agreement as binding and not to be altered without the faculty member's consent. A copy of the document thus generated must be included by the faculty member in is/her promotion file.

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 Department 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, as stipulated in Act 182, must have taken at least 50% of the credits in a discipline or specialty which is clearly related to the faculty member's teaching responsibility (relevant responsibilities in the case of non-instructional faculty). The remaining credits shall be earned in fields clearly related to the service the candidate renders to the university.
5. No more than six 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 B.

V. Responsibilities of the Applicant (see the timetable on p. 18)

- A. Any faculty member with the required minimum qualifications who wishes to apply for promotion is advised to notify the Department Chairperson, Dean/Library Director and Provost of his/her intentions, no later than September 15.
- B. A candidate must submit an application for promotion together with all written substantiation to the Departmental Chairperson no later than November 1. Included with the application must be a statement granting/not granting the UPC Chairperson access to the candidate's official personnel file. If the candidate is a Departmental Chairperson, s/he shall submit the application and all written substantiation directly to the DPC no later than November 1.
- C. The candidate shall meet with the Provost or his/her designee to review degree or credit eligibility for promotion no later than December 1. The candidate will bring to the meeting transcripts for any graduate work completed since his/her hire or last promotion application.
- D. 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.**

- E. The candidate shall coordinate with his/her Departmental Chairperson and DPC chair to retrieve his/her promotion materials for delivery to Old Main, Rm. 22C no later than the first business day after January 14. If the candidate is unavailable to physically deliver his/her promotion materials he/she may arrange for a designee to do so.
- F. The candidate (or his/her designee, as indicated above) will deliver his/her promotion materials and a copy of his/her fall teaching schedule directly to Old Main, Rm. 22C during the dates and 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 included in the materials are: (1) all student evaluations for classes taught during the semester of application, fall; (2) peer evaluation(s) from the same semester and (3) an updated copy of the candidate's vita. The presence or absence of these items will be documented on a Promotion Materials Receipt signed by both the UPC members and the candidate (or his/her designee). Copies of this form will be provided for both the candidate and the UPC records.
- G. 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. In this case, a copy of the Promotion Materials Receipt form will be sent by the UPC to the candidate's DPC Chair, Department Chair, Dean/Library Director, the Provost, and the current APSCUF-KU president.
- H. The UPC reserves the right to not consider a promotion application if the materials submitted are lacking any portion of the three required items, as listed in V.F. above, or if the materials are delivered after 4:00 P.M. on the first business day after January 14 (as indicated in V.E).
- I. After February 1, the candidate may request an appearance during the UPC's deliberations to support his/her application. The UPC may also request a meeting with the candidate.
- J. The candidate will receive notification of the President's (or his/her designee's) decision by U.S.P.S. postmarked by July 15.
- K. 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 (see CBA, Article 16.B.12 (2007)).

VI. Responsibilities of the Department Chairperson (See the timetable on p. 18)

- A. The Department Chairperson is responsible for initiating in a timely manner the process for the election of the DPC. This process must be completed no later than October 1.
- B. The Department Chairperson shall convene the first meeting of the DPC and conduct the election of its chairperson.
- C. The Department Chairperson shall notify the DPC immediately, but no later than November 1, of all promotion applications.

- D. The Department Chairperson shall forward the entire applicants' files to the DPC by November 8.
- E. By November 15 the Department Chairperson shall submit a full list of candidates to the UPC, with a copy to the appropriate Dean/Library Director, or manager. The Department Chairperson shall also send Notification of Application form (including statement granting/not granting permission to UPC Chairperson access to candidates' official personnel files) to UPC Chairperson.
- F. By December 1 the Department Chairperson shall complete a written peer evaluation (peer observation).
- G. Before making his/her recommendation, the Department Chairperson shall notify the candidate of his/her right to meet with the Department Chairperson.
- H. The Department Chairperson shall submit detailed recommendations for each candidate to the UPC no later than February 1. Each recommendation must include specific references to evidence submitted by the candidate and a carefully written evaluation of the candidate. A copy of each recommendation shall be sent to each the candidate and the respective Dean/Library Director.
- I. As stated in CBA, Art. 16.B.5, "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 shall be 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 be permitted to 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. The department shall select another faculty member in the department acceptable to the department and management to substitute for the department chairperson." Should this situation arise, the DPC shall notify the members of the department of the ineligibility of the department chairperson. The regular faculty of the department will then hold an election to recommend a regular faculty member who will substitute for the Department Chairperson. As indicated above, 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 in accordance with Act 182.

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. If necessary or desirable, as determined by the department or president, individuals from the same or

within related disciplines, mutually acceptable to the faculty member, department, and university, who are from outside the department or university may serve on the DPC.

2. Temporary faculty members may not serve on the DPC.
3. The Department 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 DPC 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 DPC, the procedure identified in Article 12.C.1.a. of the CBA (2007) shall be utilized to form the DPC.

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

1. Each DPC shall 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 DPC will ensure that student evaluations and peer evaluations in the classes of the promotion candidate are conducted before December 1 in the semester of application.
3. 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.
4. The DPC will review all available evidence and before making a recommendation, 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 no later than 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.
5. The DPC will make written recommendation to the UPC no later than 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.
6. 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 Old Main Rm. 22C no later than the first business day after January 14.

7. 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 (UPC)

1. The UPC shall consist of seven tenured faculty members. 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 Sections IX.A.5., 6., and 7) of this document. 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 distributed 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 shall be completed by May 1.
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 UPC 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 of the UPC will be two years and shall run from September 1 to August 31.
9. Vacancies in the UPC that occur between regular elections will be filled by a special election using the procedures specified in Section IX.A.3 and 4 above.
10. The UPC Chairperson shall be elected at the first meeting of the Fall Semester and shall serve for a one-year term. The UPC Chairperson may be re-elected as chairperson.

B. Responsibilities of the University Promotion Committee (UPC)

1. An organizational meeting of the UPC shall be convened no later than 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 Chairperson shall distribute the Faculty Promotion Guidelines to all members of the bargaining unit no later than 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-KU 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 by State Meet and Discuss 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 for delivery of promotion materials to Old Main, Rm. 22C. At the time of 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 UPC members and the candidate (or his/her designee). The original of this form will remain with the materials, and a copy 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 4:00 PM on the last day for submission of materials, as announced by the UPC.
6. The UPC will not decline reviewing a candidate's package and making a recommendation if no recommendation has been forwarded by the DPC and/or the candidate's Department Chairperson. The candidate may request an appearance before the UPC during its deliberations to support his/her application.
7. The UPC will review all applications, and recommendations, and will judge each application on the basis of the degree to which the criteria in section IV of these guidelines have been met.

8. The UPC will forward its final recommendations to the President (or his/her designee) no later than April 15. Candidates will receive notification of the UPC's recommendation on the first Monday after conclusion of final exams.
9. At the request of the President (or his/her designee), the recommendations given by the UPC 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. The recommendation for each candidate should include the final vote (for/against) of the UPC.

C. Procedures of the University Promotion Committee

1. The UPC will review all reports and specific materials presented by the DPC, the Department Chairperson, 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 (see section IV).
2. Information, testimony or other evidence, apart from that supplied by the applicant, the Department Chairperson, the DPC, or the Dean/Library Director may be considered by the committee but will not be entertained unless submitted at the request of the UPC. In the event that information, testimony or other evidence, apart from that supplied by the applicant, is considered, the candidate 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.
3. The candidate for promotion will 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 UPC is not satisfied with the justification that the Department Chairperson, DPC, Dean/Library Director makes for their recommendations, the UPC will return the matter to the Department Chairperson, DPC, Dean/Library Director, with an explanation of the requested clarification. The UPC may then evaluate the Department Chairperson's, DPC's, or Dean/Library Director's response and make its own evaluation and recommendation.
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 (or his/her designee), who informs the Council of Trustees of the 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 or negative vote.
- f. 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 as indicated in IX.B.9. Department Chairs serving on the UPC will recuse themselves from UPC votes when a member of their department comes up for a committee vote.
- 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 (or his/her designee) with a ranked-in-group list of promotion recommendations. Once the ranking process has begun, no requests for reconsideration of applications by any member of the UPC 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 Provost (if applicable)

- A. The Dean/Library Director shall submit a detailed recommendation for promotion according to the criteria agreed upon (as described in Section IV), 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/Library Director'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 DPC prior to submitting his/her recommendation to the UPC.
 - 2. No Dean/Library Director shall submit a recommendation regarding the application of a member of his/her immediate family or a person residing in his/her household, as defined in the Collective Bargaining Agreement.

- 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 Chairperson, the DPC, 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 or a person residing in his/her household as defined in the Collective Bargaining Agreement.
 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 those 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 (January 15 for mid-year promotions if applicable)."
- 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. Representatives of local APSCUF shall have the right to meet with the department and university-wide promotion committees to explain the duties and responsibilities of such committees”.

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 of the total number of the faculty of any State College shall be approved for classification as Professor, 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 college and approved by the board of trustees. *Of the thirty per centum, three per centum of the faculty may be granted full professorships on the basis of other qualifications than the doctorate when recommended by the president of the college and approved by the board 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. Application for promotion must be made no earlier than at the beginning of the fourth year as Associate Professor.
- c. Present evidence to show that he/she is highly qualified with respect to Sections III and IV. A. of the Faculty Promotion Guidelines, and
- d. 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).
 - (2) 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 UPC 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 UPC may, if it chooses, consult with other persons or groups (internal or external to the institution) 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 these 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 only to those faculty members who do not possess the earned doctorate or a recognized doctoral equivalency.

Promotion Timetable

The events below must occur no later than the dates indicated.

- September 1 UPC notifies faculty of upcoming promotion deadlines.
- September 15 UPC elects its Chairperson and reviews Faculty Promotion Guidelines.
UPC advises each candidate to notify in writing to his Department Chairperson, Dean/Library Director, and Provost of his/her intention to apply for promotion.
- 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 Department Chairperson.
Last day for Department Chairperson to notify DPC of all promotion applications
- November 8 Department Chairperson forwards applications to the DPC.
- November 15 Departmental 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 to the UPC Chairperson.
- Fall Sem. Student evaluations completed for candidates.
- December 1 Peer evaluations completed for candidates by DPC and Department Chair.
- In December (after grades are submitted) DPC Chair (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 no later than 3 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 file during the designated dates and times announced by the UPC to Old Main, Rm. 22C₂ with a copy of fall teaching schedule

- February 1 Department 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 the UPC.
Dean/Library Director submits recommendation to UPC & Candidate
- February 15 Deadline for candidate to submit written response to Dean's letter of recommendation,
- April 15 UPC notifies the University President (or his/her designee) of its recommendation for each candidate.
- After
April 15 UPC notifies individual candidates of its recommendations on the first Monday after the conclusion of final exams.
- July 15 University President (or his/her designee) notifies each candidate of his decision.
- After
July 15 President (or his/her designee) informs each individual candidate of the date and times after which his/her promotion materials will be available for pick up at Old Main, Rm. 22C.

Notification of Application for Promotion

This form is to be received by the Department 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 Department 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 (initial) _____ grant the Chair of the University Promotion Committee Chair access to my official personnel file for committee use relevant to my promotion application.

I hereby (initial) _____ DO NOT grant the University Promotion Committee Chair access to my official personnel file.

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 Assistant to the Provost for Faculty Relations and Academic Administration 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: _____

Print Name

Signature of Applicant for Promotion

Date

Instructions for Promotion Applicants

The 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 (CBA) between APSCUF and PASSHE.
2. Be certain that you have satisfied the minimum qualifications for promotion to the rank sought. (See Section II).
3. Make an appointment to meet with the Assistant to the Provost for Faculty Relations and Academic Administration to review years of service and academic credits required for promotion as required by Act 182.
4. Prepare your application for promotion. Your application must include the following in the order indicated below.
 - a. Up-to-date copy of your curriculum vitae.
 - b. Detailed and documented evidence 1) effective teaching and fulfillment of professional responsibilities; 2) continuing scholarly growth; and 3) service: contribution 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. By September 15, notify your Department Chairperson or supervisor in writing with a copy to both the Dean and the Provost of your intent to apply for promotion. In the communication to your Department Chairperson or supervisor, request that he or she send to the University Promotion Committee (UPC) a letter of recommendation on your behalf. (See Section VI.)
6. No later than 4:00 p.m. on November 1, deliver a completed "Promotion Application" form and your application materials to your Department Chairperson and Department Promotion Committee. Applications received after the deadline will not be considered. It is the responsibility of the applicant, the Department Chairperson, the DPC and the UPC to observe the deadlines established in the CBA and in the Faculty Promotion Guidelines. "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 Department Chairperson and DPC, 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 or the first day the university is open after Nov. 1 by 4:00 p.m.** This form can be obtained in your department office or from the Chairperson of the University Promotion Committee.
8. For your information:
 - a. In early January contact your DPC Chair and obtain your promotion application file. During the designated days and times announced by the UPC, deliver it to Old Main, Rm. 22C.
 - b. No later than **February 1**
 - (1) Your DPC is to send its recommendation to the UPC.
 - (2) Your Department Chairperson or supervisor is to send a letter of recommendation on your behalf to the UPC.
 - (3) Dean/Library Director submits a letter of recommendation on your behalf to the UPC and provides a copy of the recommendation to you.
 - c. If you wish to meet personally with the UPC, you must submit your request to the Chair of the UPC no later than February 10.
 - d. If you wish to provide a written response to the letter of recommendation from the Dean, you must submit the letter to the Chair of the UPC no later than February 15.
 - e. No later than **April 15**, the UPC is to submit its recommendation to the University President or his/her designee.
 - f. By No later than **July 15** the University President or designee is to announce the results on all promotion applications. If notified by letter, the letter should be postmarked by this date.
9. You are responsible to work with your Department Chairpersons and DPC to ensure that all required materials are included with the application file delivered to the Old Main, Rm. 22C.
10. You are responsible for ensuring that all deadlines are met. **IF DEADLINES ARE MISSED OR REQUIRED MATERIAL IS OMITTED, THE PROMOTION APPLICATION WILL NOT BE CONSIDERED BY THE UPC. FALL STUDENT EVALUATIONS MUST BE INCLUDED IN EACH APPLICANT'S FILE BUT ARE ADDED TO THE FILE AFTER FINAL GRADES FOR THE FALL SEMESTER ARE TURNED IN.**
11. If you have any questions regarding promotion application procedures, contact the Chairperson of the UPC.

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 Department Promotion Committee with copies to both the Dean/Supervisor and Provost. After the DPC 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 Old Main Rm. 22C on or before dates and times announced by the UPC.

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 Fall semester 2019.

I have satisfied the minimum qualifications for promotion as set forth in State Act 182 and Section II of the Kutztown University Faculty 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 no later than February 1, 2019.

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 Kutztown 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:

