

Policy: PAc-2 Promotion Review

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PURPOSE: To define the criteria, procedures, and conditions of the review of University academic personnel for granting promotion **from associate professor to professor.**

I. GENERAL PRINCIPLES

ACADEMIC PRINCIPLES: Faculty members have an important responsibility in providing evaluations of peers in the promotion process. This responsibility involves the application of academic and professional judgments in a framework of shared authority among various levels of review and between faculty and academic administrators.

The promotion procedures consist of peer and administrative judgments and reviews at the department, college, and the University levels. These judgments and reviews regarding promotion must evaluate, certify and document that the performance level of an associate professor is at or above the performance level defined by departmental promotion standards. Departmental faculty may choose to develop discipline-specific standards for teaching, professional achievement, and service. At each level, the review process will reflect the competence and perspective of the reviewing body.

~~The promotion procedures consist of several levels of judgment and review: the department, the college, and the University. The initial reviews will take place at the level of the department and college and will focus on professional and scholarly judgments of the quality of the individual's academic work. Subsequent levels of University review will bring broader faculty and administrative judgment to bear and will also monitor general standards of quality, equity, and adequacy of the procedures used. At each level, the review process will reflect the competence and perspective of the reviewing body.~~

~~The assistant professor who successfully gains tenure will be automatically promoted to the next higher rank without further review. Therefore, tenure decisions must reflect satisfactory performance for promotion.~~

The college-level reviews by the Department Promotion Committee, the Department Chair, the College Promotion Committee, and the College Dean will make judgements that focus on the quality and quantity of the professional and scholarly performance in the areas of teaching, professional achievement, and service.

Performance-based salary increase (PBSI) and promotion evaluations are separate processes, and consequently, meeting or exceeding PBSI criteria does not automatically ensure a favorable promotion decision. PBSI evaluations are based on annual performance whereas promotion evaluations are based on cumulative performance. As the University strives to recruit and maintain an

outstanding faculty, meeting the minimal expectations of performance will not be sufficient for promotion to professor. Performance Based Salary Increase merit share rankings (i.e. number of merit shares awarded) will be excluded from the documentation.

The University-level reviews by the University Promotion Committee, the Executive Vice President for Academic Affairs and Dean of Faculty (EVPAA), and the President will be guided by criteria established in the departmental Faculty Evaluation Plan. University-level reviews by the Executive Vice President for Academic Affairs and the President will bring broader faculty and administrative judgments to bear. University level reviews will also monitor general standards of quality, equity, and adequacy of the procedures used.

Each chair and departmental faculty will define acceptable standards for promotion to the rank of professor in the department Faculty Evaluation Plan to evaluate faculty eligible for promotion to professor. The University Promotion Committee will review, on an annual basis, these promotion standards and recommend acceptance or ask for revision to ensure University-wide standards of quality, equity, and fairness. The college deans and University Promotion Committee will approve these promotion standards before they are implemented.

~~EXPECTATIONS AND STANDARDS OF EACH UNIT:-~~

~~An important part of the whole promotion process for faculty members is that all parties share common expectations and understandings. Since general statements of principles will be broad and inclusive, each academic unit may develop its own specific expectations and standards in addition to the broad, University wide standards as the operational basis for promotion recommendations. Statements concerning these additional expectations and standards will be available and on file in the Office of the Executive Vice President for Academic Affairs and Dean of Faculty, and will be given to each faculty member.~~

~~The review process for promotion is concerned with the academic and professional merits of particular candidates, judged in reference to all alternative candidates, including prospective faculty members. Promotion standards, therefore, cannot be fixed and absolute but will reflect to some extent the varying competitive positions of the University in attracting faculty. Accordingly, evaluations will be influenced by such considerations of relative standing. Likewise, progressively more exacting scrutiny will take place as the faculty member advances in academic rank.~~

II. GENERAL CRITERIA FOR PROMOTION

Promotions shall will be based on recognized performance in each of the following three areas listed below as appropriate to the particular responsibilities assigned to

of the faculty member. Promotion is neither an unqualified right nor an automatic consequence of having completed a certain period of service.

~~The minimal requirements listed below are not the sole determinants in the review process:~~

Accomplishments in each of the three areas listed below must be recognized and evaluated by the Department Promotion Committee, the Department Chair, the College Promotion Committee, the College Dean, the University Promotion Committee, the Executive Vice President for Academic Affairs and Dean of Faculty, and the President. Evaluations will be guided by promotion standards contained in the departmental FEP.

1. Teaching ~~excellence~~: **Teaching excellence** as recognized by colleagues, department chairs, and deans and as assessed by students. Other evidence may include, but not be limited to, the following: student contact activities (advisement, supervision of internships and theses); development of new courses, programs, or innovative instructional techniques; teaching awards and honors.

2. Professional achievement: **Documentation of professional achievement** ~~as related to the teaching area~~ may include, but not be limited to, the following: research, scholarly or creative achievements; ~~attendance at professional meetings~~; leadership roles in professional organizations; participation in **professional meetings**, seminars and workshops; additional graduate study in the teaching field **beyond the minimum required for meeting standards for promotion to professor or contract stipulations**; work experience; and/or consulting.

3. **Professional Service: Service to the institution and the community is recognized, evaluated and expected of faculty desiring promotion to professor.** Service may include, but not be limited to, the following: active participation on University, college, department, and/or Faculty Senate ad hoc and standing committees; service as an official representative of the University; sponsorship of approved co-curricular activities; coordination of and participation in University workshops, conferences, clinics, inservice **presentations**, and special events; development of proposals; development of **functioning** relationships with professional groups in business, industry, trade, education, and government. ~~non-University service rendered as a citizen, not as a representative of Morehead State University (MSU).~~

III. GENERAL STATEMENTS REGARDING PROMOTION

TIME IN RANK: Up to three years of equivalent professional service at other regionally accredited institutions of higher education may be applied to the time in rank requirements for promotion outlined in PAC-1. Credit for equivalent professional service will be recommended to the Executive Vice President for Academic Affairs and Dean of Faculty by the University Promotion Committee in accordance with the criteria established for promotion.

~~PERIODIC PERFORMANCE REVIEWS: Periodic performance reviews are made of all faculty members according to established University procedures. Candidates for promotion may include these periodic performance review summaries in their promotion portfolios.~~

PROMOTION PORTFOLIO: The promotion portfolio must contain a curriculum vita, supporting documents and a letter of intent. The format for the presentation of promotion material will be determined by the University Promotion Committee. The letter of intent, addressed to the **Department Chair** ~~College Dean~~, will state the desire to be considered for promotion and ~~will should~~ contain a summary of major responsibilities and activities since the last rank assignment that merit consideration for the promotion. If a faculty member applies previous service at another institution to the time in rank requirement, the previous service must be documented with respect to teaching excellence, professional achievement, and service to that institution and community. The candidate's portfolio must document all qualifications, and it must be complete at the time of submission.

CURRICULUM VITAE: The following are guidelines for constructing the curriculum vita. **Not all** ~~All~~ categories will ~~not~~ apply to each candidate. Whenever appropriate specific titles, dates, pages, and publishers should be included. Numbers 1 and 2 must be as complete as possible, and a reasonable sample of items under numbers 3 and 4 should be presented.

1. Personal Data
 - a. Name
 - b. Present rank, administrative title (if applicable), and department
 - c. Dates of initial rank assignment and promotions at Morehead State University
 - d. Field or fields of specialization
 - e. Education completed: degrees, certifications, and/or licenses with institutions and dates awarded or granted
 - f. Teaching prior to Morehead State University or related work experience prior to Morehead State University
 - (1) Institutions
 - (2) Dates
 - (3) Responsibilities
 - (4) Rank changes and dates
 - g. Memberships in academic honor organizations
2. Teaching--Note whenever reassigned time was given.
 - a. Teaching load each semester
 - (1) Numbers and titles of courses taught
 - (2) Credit hours/workload
 - b. Student contact activities
 - (1) Number of advisees: graduate, undergraduate
 - (2) Supervisor of internships
 - (3) Direction of theses and service on theses committees
 - (4) Direction of independent studies

- (5) Service on oral examination committees
 - (6) Other
 - c. New courses and programs developed
 - d. Innovative instructional techniques developed
 - e. Teaching awards and honors
 - f. Other evidence of effective teaching
- 3. Professional Achievement
 - a. Scholarship
 - (1) List of published articles
 - (2) List of published books
 - (3) List of published reviews
 - (4) List of papers read at conferences
 - (5) Editorship of or service on editorial boards of professional journals
 - (6) Scholarly grants
 - (7) Sabbaticals
 - (8) ~~Pure research completed~~ **Basic and/or applied research activities**
 - (9) Fellowships awarded
 - (10) Awards for scholarship
 - b. Creative Productions--List of:
 - (1) Exhibits
 - (2) Musical compositions published
 - (3) Poems, plays, stories, novels published
 - (4) Artistic performances
 - (5) Speaking engagements
 - (6) Inventions
 - (7) Awards for creative productions
 - c. Academic and/or professional organizations
 - (1) Memberships
 - (2) Leadership roles
 - (3) ~~Attendance~~ **Active participation** at conferences
 - (4) Awards for **professional** service
 - d. Continuing education
 - (1) Seminars attended and form of participation
 - (2) Workshops attended and form of participation
 - (3) Graduate study beyond the required terminal degree
 - (a) Institution
 - (b) Degree being pursued and anticipated date of completion
 - (c) Credit hours completed
 - e. Relevant work experience and consulting
 - (1) Institution/agency
 - (2) Responsibilities
 - (3) Dates
 - f. Other evidence of professional growth
- 4. Service
 - a. List of University, college, department, and Faculty Senate ad hoc and standing committees with level indicated in each case

- b. Sponsorship or advisor of University-approved extracurricular activities
- c. Service as official representative of the University
 - (1) Place
 - (2) Responsibility
 - (3) Date
- d. Coordination of and participation in Morehead State University workshops, conferences, clinics, inservice, and special events
 - (1) Title
 - (2) Form of participation
 - (3) Date
- e. Development of proposals to benefit the University
 - (1) Title of proposal
 - (2) Date submitted
 - (3) Accepted or rejected
- f. Development of relations with professional groups (business, industry, trade, education, and government)
- g. Honors and awards for service
- h. Other University service **as a university representative**
- i. Other service

SUPPORTING DOCUMENTS: The supporting documents should be arranged in the following categories:

1. Documents which support personal data (for example):
 - a. Copies of official transcripts
 - b. Copies of official letters of promotion at other institutions
2. Documents which support teaching excellence (for example):
 - a. Copies of results of teacher ratings
 - b. Copies of descriptions of innovative instructional techniques
 - c. Copies of teaching awards and honors
3. Documents which support evidence of professional achievement (for example):
 - a. Copies of published articles, books, reviews
 - b. Copies of papers read at conferences
 - c. Copies of conference programs
 - d. Copies, slides, tapes of, or patents for creative productions
 - e. Evidence of roles in academic organizations
 - f. Evidence of continuing education including transcripts of graduate work
 - g. Programs identifying speaking engagements
4. Documents which support service (for example):
 - a. Copies of proposals to benefit the University
 - b. Copies of honors or awards for service

5. The department's Faculty Evaluation Plan(s).

~~PROMOTION—Department, College, and University Promotion Committees will be formed~~

~~COMMITTEES: exclusively with tenured faculty (see exception in #8) and operate within the following structure and procedures:~~

IV. GENERAL PROCEDURES FOR PROMOTION REVIEW

1. No candidate for promotion, candidate's spouse, **immediate family (as defined by PG-22)**, department chairs, or deans will serve on promotion committees.
2. No faculty member will serve on more than one promotion committee for a given candidate.
3. The chairperson of each promotion committee will be elected by the committee from the membership.
- ~~4. In academic areas where schools are the administrative unit above the department level, the peer review will be by the department, college, and University promotion committees.~~
5. **4.** The University Promotion Committee ~~shall~~ **will** consist of faculty members selected by the Faculty Senate from the tenured, full-time faculty and must include one representative from each college and five additional at large faculty members, and shall include both males and females. No two representatives ~~shall~~ **will** be from the same department. Committee members shall be ~~full~~ professors. In the event that ~~full~~ professors are unavailable, associate professors may serve. Term of service ~~shall~~ **will** be three years, with one-third being replaced each year. A member may not hold successive terms. The Faculty Senate ~~shall~~ **will appoint** ~~elect~~ members to the committee by May 1 of the prior academic year. Committee members ~~shall~~ **will** be notified in writing as to their own and others' selection to the committee prior to the committee's first meeting.
- ~~6. 5.~~ No member ~~of the shall serve on the~~ University Promotion, Tenure, or Faculty Rights and Responsibilities Committees ~~shall~~ **will** serve concurrently. ~~on the University Promotion or University Tenure Committee at the same time.~~
7. **6.** The College Promotion Committee ~~shall~~ **will** consist of one representative from each department of the college. These members will be tenured, full-time faculty members. **Committee members will be professors. In the event that professors are unavailable, associate professors may serve.** Each department will elect, by secret ballot, a representative to serve a two-year term on the college committee by September 1. Committee members ~~shall~~ **will** be notified in writing as to their own and others' selection prior to the Committee's first meeting.
- ~~8. 7.~~ The Department Promotion Committee ~~should consist of all eligible tenured faculty. If the departmental committee consists of fewer than five members, the committee may add enough full-time tenure-track faculty members to form a five-member committee.~~ **All full-time tenured professors in a Department will serve on the Department Promotion Committee. The committee will**

have a minimum of five faculty members. In the event that there are fewer than five full-time tenured professors in the Department, then full-time tenured associate professors from the Department will be chosen by the tenured faculty in the Department. In the event that there are fewer than five eligible members in the Department, the Department's tenured faculty will collectively invite enough full-time tenured professors from the same college to form a committee of at least five members.

- ~~9.~~ ~~The quorum necessary for voting will be two thirds of the total membership of a committee.~~
- ~~10.~~ **8.** All voting on candidates will be by secret ballot. Recommendation for promotion requires an affirmative vote by a **the** majority of the committee membership voting. There ~~shall~~ **will** be no abstentions in the voting process. In all committee recommendations, the number of "yes" votes and the number of "no" votes must be recorded.
- ~~11.~~ **9.** Justification for the recommendation of each candidate must be in detailed narrative format on the appropriate form. The narrative must reflect the candidate's teaching excellence, professional achievement, and service activities and include statements of strengths and weaknesses. Minority views ~~shall~~ **will** also be included.
- ~~12.~~ **10.** Promotion committee deliberations must be treated confidentially and must not be discussed outside of promotion committee meetings.

V. THE PROMOTION REVIEW PROCESS

- 1. The Department Promotion Committee will review the portfolio and submit a written evaluation of the strengths and perceived weaknesses of the portfolio to the candidate using the Department's Faculty Evaluation Plan as the criteria for evaluation. The written evaluation, which will be signed by all committee members, will document the validity of the information contained in the candidate's department promotion portfolio as it relates to the Department's Faculty Evaluation Plan.**

The primary purpose of this evaluation is to evaluate and certify the items and statements contained in the candidate's Promotion Portfolio, and to ensure that the performance level of the faculty member is at or above the performance level specified by the departmental criteria for promotion to professor. The Department Promotion Committee may also request additional documentation of items and statements made in the candidate's Promotion Portfolio. This additional documentation and supporting evidence will not become part of the portfolio to be sent further up the chain of review.

It is the responsibility of the Department Promotion Committee to conduct a vote which affirms or denies their support of the Promotion Portfolio, with a copy of the evaluation and vote tally delivered to the candidate. Voting will be by secret ballot, and a sealed ballot by an absent faculty member may be included in the tally if all of the ballots are opened and counted at the same time at the Department Promotion Committee meeting. Abstentions are not allowed at either the Department, College, or University Promotion Committee levels of review.

- 2. The Department Promotion Committee will then forward the Promotion Portfolio, written evaluation, and vote tally to the Department Chair, who will add his/her written evaluation to the portfolio. A copy of this evaluation also will be delivered to the promotion candidate.**

It is also the responsibility of the Department Chair to evaluate and certify that the supporting documentation is at or above the performance level specified by the departmental criteria for promotion to professor. This evaluation and certification must be part of the Chair's letter of evaluation. It is also the responsibility of the Department Chair to certify that academic requirements, such as terminal degrees, years of teaching/previous service, etc. have been met.

- 3. The Department Chair will then forward the Promotion Portfolio, Department Committee written evaluation and vote tally, and his/her written evaluation to the College Promotion Committee. The College Promotion Committee will review the portfolio and submit a written evaluation of the strengths and perceived weaknesses of the portfolio to the candidate using the criteria for promotion to professor as defined in the Department's FEP.**

It is the responsibility of the College Promotion Committee to conduct a vote which affirms or denies their support of the Promotion Portfolio, with a copy of the evaluation and vote tally delivered to the candidate. Voting will be by secret ballot, and a sealed ballot by an absent faculty member may be included in the tally if all of the ballots are opened and counted at the same time at the College Promotion Committee meeting.

- 4. The College Promotion Committee will then forward the Promotion Portfolio, Department Committee, Chair, and College Committee written evaluation, and vote tallies to the College Dean.**
- 5. The College Dean will review the Promotion Portfolio and provide a written evaluation of the portfolio, with a copy of this evaluation delivered to the candidate. The College Dean will then forward all materials to the University Promotion Committee for review.**

The promotion candidate may then add a letter of response to the University Promotion Committee which responds to any or all of the written evaluations

of his/her portfolio within seven calendar days after receipt of the written evaluation from the College Dean.

6. The University Promotion Committee will review the portfolio and submit a written evaluation of the strengths and perceived weaknesses of the portfolio to the candidate using the criteria for promotion to professor as defined in the Department's FEP.

It is the responsibility of the University Promotion Committee to conduct a vote, with at least two-thirds of its membership present, which affirms or denies their support of the Promotion Portfolio, with a copy of the evaluation and vote tally delivered to the candidate. Voting will be by secret ballot. Absentee ballots will not be permitted. A recommendation to "promote" or "not promote" requires a simple majority of the entire committee membership.

The promotion candidate may then add a letter of response to the Executive Vice-President of Academic Affairs which responds to any or all of the written evaluations of his/her portfolio within seven calendar days after receipt of the written evaluation from the University Promotion Committee.

7. The University Promotion Committee will then forward all materials and their final recommendation and written evaluation to the Office of the Executive Vice-President of Academic Affairs and Dean of Faculty.
8. The Executive Vice President for Academic Affairs and Dean of Faculty will review all materials, vote tallies, written evaluations, and recommendations and make a recommendation to the President. Should the recommendation of the Executive Vice President for Academic Affairs differ from the recommendation of the University Promotion Committee, the Executive Vice President for Academic Affairs will consult with the University Promotion Committee prior to making a recommendation to the President. The President will make the final recommendation to the Board of Regents.

VI. GENERAL DATES FOR THE PROMOTION REVIEW PROCESS

1. Specific dates and deadlines for the promotion review process in each year will be set and distributed to the faculty in a timely manner by the Office of the Executive Vice President for Academic Affairs and Dean of Faculty.

~~IV. PROMOTION PROCESS~~

~~GUIDELINES: All new faculty and prospective candidates for promotion may elect to attend an orientation workshop sponsored and presented by the Executive Vice President for Academic Affairs and Dean of Faculty and the previous year's chair of the University Promotion Committee that shall be held no later than October 15 of each year. Each candidate for promotion will receive peer review at the department, college, and University levels. In~~

addition to peer review, each candidate will be reviewed by his/her Department Chair, Associate Dean (if applicable), College Dean, and the Executive Vice President for Academic Affairs and Dean of Faculty. The President makes the final recommendation to the Board of Regents.

~~INITIATION OF THE REVIEW PROCESS: BY JANUARY 15: The candidate applying for promotion review has the responsibility for submitting the required promotion portfolio, which includes a letter of intent (to the Dean), curriculum vita and supporting documents. The dean will place the portfolio in a secure area for review by the appropriate Department Promotion Committee, College Promotion Committee, Department Chair, Associate Dean (if applicable), and College Dean.~~

~~REVIEW OF PORTFOLIOS: The review process will proceed as described below:~~

~~1. BY FEBRUARY 1: Department Promotion Committee, Department Chair, College Promotion Committee, Associate Dean (if applicable), and College Dean independently will have reviewed the portfolios and made a determination regarding a positive or negative recommendation. The recommendation and supporting rationale for promotion are documented on the appropriate form and submitted to the Executive Vice President for Academic Affairs and Dean of Faculty.~~

~~2. BY FEBRUARY 5: As soon as these reviews have been completed, the College Dean sends the portfolios to the Executive Vice President for Academic Affairs and Dean of Faculty, who places the portfolios in a secure area for review by the University Promotion Committee. At that time the Executive Vice President for Academic Affairs and Dean of Faculty will convene the University Promotion Committee and convey, to the committee, two copies of recommendations from all prior committees and administrators described in Section IV.1. above.~~

~~3. BY FEBRUARY 5: College representatives of the University Promotion Committee, will have informed the candidates of the appropriate Department and College Promotion Committees', Department Chair's, Associate Dean's (if applicable), and College Dean's recommendations through presentation of a photocopy of those recommendations and a summary of the candidate's options at that point.~~

~~4. BY FEBRUARY 10: All portfolios will be automatically reviewed unless a written request to withdraw the portfolio is submitted to a college representative of the University Promotion Committee, who will then return the portfolio to the candidate. If the candidate receives any negative recommendation, he/she may request that it be sent on with a letter of response. If the candidate chooses to submit a letter of response, it must be submitted to the Chair of the University Promotion Committee.~~

~~5. BY MARCH 5: The University Promotion Committee will have reviewed the candidate's portfolio; the recommendations by the Department and College Promotion Committees, the Department Chair, Associate Dean (if applicable), and College Dean; and any letter of response and will have made a determination regarding a positive or negative recommendation. The recommendation and supporting rationale for promotion is documented on the appropriate form.~~

~~6. BY THE END OF TWO WORK WEEKS: College representatives on the University Promotion Committee representatives will have informed their college's candidates for promotion of the University Promotion Committee's recommendation. If the recommendation was for promotion, the portfolio will automatically be made available for review by the Executive Vice President for Academic Affairs and Dean of Faculty, the President, and the Board of Regents. If the University Promotion Committee's recommendation was against promotion, a college representative will have informed the candidate; and the candidate may withdraw the portfolio, request that it be sent on without responding, or request that it be sent on with a letter of response. If the candidate chooses to submit a letter of response, it must be submitted to the Executive Vice President for Academic Affairs and Dean of Faculty. To withdraw the portfolio, a candidate must submit a written request to the college representative of the University Promotion Committee, who will then return the portfolio to the candidate.~~

~~7. BY APRIL 15: The Executive Vice President for Academic Affairs and Dean of Faculty will have reviewed the portfolio, the recommendations, and the letters of response. The Executive Vice President will provide feedback to the University Promotion Committee prior to making a recommendation on each portfolio to the President. The President, in turn will recommend to the Board of Regents, which will make the final decision at its next Board of Regents' meeting.~~

~~8. BY ONE WEEK AFTER BOARD'S DECISION: Within one week of the Board of Regents' decision, the President will have informed each candidate in writing of the decision. The promotion portfolio will be available for return.~~

~~9. BY TWO WEEKS AFTER BOARD'S DECISION: Each candidate who does not receive promotion will have been invited to meet with the Executive Vice President for Academic Affairs and Dean of Faculty for further explanation. The candidate has the option to decline this invitation.~~