

guidebook

of the

Faculty Affairs Committee

Operating under the AAUP-Utica Utica University Collective Bargaining Agreement (2015-2020) and the Memoranda of Agreement (2020, 2021, 2022-2027)



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Purpose

The purpose of this *Official Guidebook of the Utica University Faculty Affairs Committee* (FAC) is to provide members of the University community who may have matters before the FAC with a resource from which to guide their case through the FAC. Predated documents should be disregarded in favor of the guidance provided herein.

The [Utica University-AAUP-Utica Collective Bargaining Agreement \(CBA\)](#) is the authoritative document outlining how tenure, promotion, and appeals recommendations and decisions are made (as the same may be amended). This document summarizes requirements for tenure, continuous appointment, promotion, and appeals, offers suggestions for creating, updating, and presenting your case, and provides a set of resources to help you through your probationary period as a faculty member or librarian at Utica University. It does not replace or supersede the CBA stipulations. Please report any broken links to the Office of the Provost and/or the chair *pro tem* of the FAC.



The Faculty Affairs Committee

The Faculty Affairs Committee, hereinafter referred to as the FAC, is an official committee of the Faculty Senate of Utica University, codified in both the [ByLaws of the Faculty Senate](#) and [Collective Bargaining Agreement \(CBA\) between Utica University and the AAUP-Utica](#), as the same may be amended from time to time. Nine (9) members from across the University currently make up the FAC, as promulgated by the [University Faculty Senate](#). The FAC is charged with reviewing matters related to recommendations to the University Provost and President regarding tenure of faculty members, continuous appointment of librarians, promotion, emeritus status, and appeals.



While every effort is made to keep this document current, it is the candidate's responsibility to seek guidance and/or clarification related to any matters that may come before the FAC. Candidates should seek official guidance from their school dean and/or the Office of Academic Affairs, as well as the [leadership of the AAUP-Utica](#).

The FAC is a committee of your peers. The nine members represent the University faculty and librarians (depending on the current composition of the committee). We are not a council of elders. We do not wear robes and light candles in a secretive ceremony. **We want you to succeed.**



Confidentiality Statement

An essential element of the effective operation of the FAC is that its deliberations be conducted and transmitted in the strictest confidence. Any failure to observe confidentiality, particularly with respect to personal and personnel matters, undermines confidence in the Committee. The following standards are in place to preserve confidentiality:

1. All discussions will be limited to official meetings of the FAC, except as may be necessary with fellow Committee members. No discussions of issues and personnel matters will ever be conducted with nonmembers of the Committee.
2. The only reports emanating from the Committee are those that are officially approved by the full Committee, and these should be reported only by the Committee's designated representative, usually the chair *pro tem*.
3. Although inappropriate, members of the University Community frequently question the progress of the Committee in its work. The responses to such questions will be limited to stating the topic area(s) under consideration at the time, i.e., rules and procedures, tenure, promotion, emeritus recommendations, etc. In no instance is it permissible to relate the names of persons under consideration or to provide any details about actual discussions.



Candidate

For the purposes of this document, a Candidate is a member of the University community who meets the eligibility criteria as outlined in the [CBA](#) to come before the FAC for consideration of tenure, continuous appointment (librarians), promotion, emeritus status, fifth-year non-reappointment and/or related appeals. Questions regarding eligibility should be directed to the [Office of the Provost](#) and/or the [leadership of the AAUP-Utica](#). It is solely the responsibility of the candidate to coordinate with the appropriate offices and to ensure that all documents desired for review are provided to

the FAC. Candidates should refer to their respective sections of the CBA in their role as a faculty member or librarian. Where possible, we have attempted to parallel these processes for faculty members and librarians.

Preparing Your Case Statement

Whether a candidate for tenure, continuous appointment or promotion, or appearing before the FAC for other matters, you are required to prepare and present your case. No one can do this for you, and you are solely responsible for the contents of your final case submission. However, there are many colleagues and resources that can assist you in this process. The FAC encourages you to reach out to colleagues across the University and not just within your discipline.

My Case for Tenure/Continuous Appointment

There are three key components to a tenure/continuous appointment package: the Summary of Professional Activities, Reflective Statements on Teaching/Librarianship, Professional Accomplishment, and Service and Supporting Evidence, including artifacts of teaching/librarianship effectiveness (such as peer evaluations and opinionnaires), all of which are a part of your overall case statement. Each of these is briefly described below.



Summary of Professional Activities (SOPA)

Each year faculty members and librarians submit a Summary of Professional Activities (SOPA) to their deans that documents activities and progress in each of the three areas required for tenure, continuous appointment (librarians), or promotion to librarian II or III, associate professor (teaching, professional accomplishment, and service) or the four areas required for promotion to the rank of professor (i.e., 'Full Professor'; teaching, professional accomplishment, service, and leadership). The SOPA is an enhanced Curriculum Vitae that provides a reverse chronological accounting of noteworthy accomplishments and activities in each of the three or four areas of review cited above.

One effective strategy for maintaining your summary is to establish a file in which to collect artifacts of anything that you may wish to include in your summary.

This may include, but is not limited to, conference programs, Nexus notes, teaching syllabi, sample assignments, presentation flyers, evidence of committee membership, etc. Your SOPA should grow and evolve over time so that the version you present in

your tenure/continuous appointment package will be a well-organized, cumulative record of your time at the University. Your SOPA is your creation, but keep in mind that the goal of the SOPA is to communicate your academic record to colleagues who may not be familiar with you or your area of scholarship. Highly effective SOPAs are as concise as possible. Candidates are encouraged to weigh carefully the inclusion of mundane or minor activities that may obscure more impactful activities or accomplishments. Beware of hiding important work in a sea of trivia. Effective SOPAs make it easy for everyone to find what they are looking for (evidence of excellence in teaching, librarianship, scholarly accomplishment, service, and leadership). Effective SOPAs also include annotations that clarify your accomplishments so that a colleague from a different discipline can best understand your case (i.e., is an award intramural or international, is an article in a top-tier journal or a newsletter, did you play a minor or a major role as a coauthor, etc.).

Reflective Statements on Teaching/Librarianship, Professional Accomplishment, and Service

Whereas your annual *Summary of Professional Activities* is an extension of the previous year each year, this is not true of your Reflective Statements on Teaching/Librarianship, Professional Accomplishment, and Service.

Reflective Statements give faculty members and librarians the opportunity to think annually about their philosophies, goals, strategies for achieving those goals, and successes and challenges in each of the three areas of teaching/librarianship, professional



accomplishment, and service. Your Reflective Statements are a supplement to your SOPA, not a list recounting the items in your SOPA that FAC members can and will read. Use this opportunity to reflect genuinely on the three (or four) areas of your work and to convey to the FAC your thoughts on your attempts, wins, and losses as an academic at Utica and how you are growing as a member of the academy. What are your goals? How do you intend to achieve those goals? What have been your successes? Have you experienced difficulties or setbacks, and how are you attempting to overcome these challenges? In short, how are you thinking about the items in your SOPA as well as your envisioned future? Reflective statements need not be overly long or perfectly comprehensive. The best reflective statements are concise but highly thoughtful and allow FAC members insight into the candidate's thinking about the most important aspects of their work and development as a scholar.

These Reflective Statements should evolve as the faculty member and librarian proceed toward tenure or continuous appointment. Further, your Reflective Statements should respond to feedback from the students (SOOT data, both qualitative and quantitative)

and your colleagues (peer reviews, tenured faculty and continuously appointed librarian letters, and conversations with your dean). Your dean, department chair/director, and colleagues are available to provide assistance in writing these statements. Please be sure to give them enough time to read and comment on your statements and for you to change them in response to the feedback before the deadline for submission.

Ultimately, pre-tenure/continuous appointment Reflective Statements create a narrative about your progress toward tenure/continuous appointment and will be useful in creating your package and overall case statement.

Supporting Documents in your Supplemental File

This component of your package is, in essence, the file in which you have been collecting materials. It is the evidence that supports the statements you have reported in your Summary of Professional Activities. Faculty members and Librarians must submit their materials in an electronic format, absent exigent circumstances, with sections devoted to teaching/librarianship, professional accomplishment, service, and leadership as appropriate. However, other ways of organizing this material would be acceptable as long as the information is clearly indexed. The amount of material in your Supporting Documents should be made available in a supplemental file and should not be exhaustive but, rather, should be reflective of your major or exemplary work (it need not include every document produced, simply those needed to make your case).

Advice and Suggestions for Developing Your Case for Tenure

Materials Prepared for You by Your School or Library Director

Your school automatically maintains a file for you, which you are welcome to review, that includes the following documents:

- Your current SOPA (that you have prepared and submitted to the dean's office)
- Your SOOTs
- Grade Distributions in the courses you have taught
- Annual reappointment letters from your dean
- Dean's letter of evaluation for tenure or promotion
- Peer Teaching Evaluations
- Tenured faculty letters of evaluation (for tenure and promotion)
- Other documents as appropriate

From this file, the Office of Academic Affairs shares with members of the FAC your SOPA, SOOTs, Peer Evaluations, Reappointment Letters, Tenured Faculty letters, and Dean's letters, as well as your supporting documents in your supplemental file.

Faculty/Librarian Mentor

As your career at Utica develops, you should try to get to know as many colleagues as possible. Many candidates report that having informal faculty and librarian mentors early in their careers was the greatest source of information and support when going through the tenure/continuous appointment process. Mentors may be colleagues from your own department or others recommended by your department members or your dean.

While you cannot ask current members of the FAC for advice or direction, we encourage you to reach out to past members of the FAC to provide additional guidance. We are hopeful that the [Center for Faculty Excellence](#) will eventually maintain a roster of past FAC members willing to assist in your journey. Find mentors early. Make sure you are professionally comfortable with the mentors you seek. They should be somewhat familiar with your area of expertise, and people within and outside your discipline should be represented.

The Procedures for Consideration of Faculty for Tenure/Continuous Appointment section of this document provides guidelines for preparing your package. This section of the document will talk about each requirement and provide advice and suggestions for developing your package. Below are some of the documents that would be appropriate to keep in your files to help you prepare your annual Summary of Professional Activities and your tenure/continuous appointment package.

Whereas there is some variability across schools, the following list is applicable to all schools and the library. Ultimately, communications with your dean, department chair/director, and mentors will provide the best assurance that you have prepared a complete package for tenure or continuous appointment.

Below are examples of possible items to include in your package. This list is not to be considered fully inclusive nor a set of requirements, but rather suggestions to get you started thinking about what to include. Ultimately these items will be used to put together your package.

Teaching/Librarianship

Required Materials:

1. Your tenure/continuous appointment Reflective Statement on Teaching/Librarianship is a culmination of your pre-tenure/continuous appointment experience as an educator/librarian.

2. Strong examples of syllabi, course projects, assignments, and evaluation measures for students
3. Teaching evaluation documents provided by your school office to use to help summarize your teaching experience as viewed by students, or other related evaluation documents as a librarian
4. Candidates should have peer evaluations of the effectiveness of their teaching done on a regular basis, at least one to two per year for pre-tenure candidates and as seems appropriate for pre-promotion candidates. Candidates who have concerns about how their teaching is perceived by students or faculty or who have received a letter from tenured faculty stating concerns, should seek out a greater number of peer evaluations to both help refine their teaching (or perceptions of their teaching by students) and also to help build their case. Usually, your School Dean will conduct one or more evaluations during your pre-tenure period. You should, however, have additional peer evaluations conducted as well. Good choices for evaluators are the tenured faculty members in your department, your department chair, faculty who have earned the Distinguished Teaching Award, and at least one faculty member outside of your School. Note: While it is the responsibility of the school to provide one peer review per semester for the first two years (and one per year thereafter until consideration for tenure), candidates may wish to consider soliciting additional peer evaluations to strengthen their package and for additional feedback.

Other Materials Included as Applicable

1. Record of advisees numbers, awards or other recognition for your work in this area, or accomplishment above and beyond the norm
2. Information and documentation regarding any independent studies, tutorials, or Master's thesis supervision
3. Honors, awards, and support letters regarding your teaching/librarianship, curricular work, or advising expertise
4. Acknowledgements for teaching/librarianship from other institutions or for guest lecturing
5. Documentation regarding work done with students outside the classroom
6. Examples of innovation of coursework or overall program contributions
7. Role as an academic advisor outside of departmental/major advising

Professional Accomplishment

1. Your tenure/continuous appointment Reflective Statement on Professional Accomplishment is a culmination of your pre-tenure/continuous appointment experience as a scholar/professional in your field.
2. Creative Works, including such things as juried or unjuried shows of artwork or craftwork, musical or dramatic performances, published creative writing or journalism, curation of collections, performances, or exhibits, and similar creative endeavors may be included.
3. Professional publications while at Utica University, including acceptance letters/notifications (identify invited publications separately and indicate if peer-reviewed)
4. Funded grants
5. Professional conference presentations while at Utica University, including acceptance letters/notifications (identify invited presentations separately and indicate if peer-reviewed)
6. Local and campus publications or presentations
7. Acknowledgements and awards for scholarship and other forms of professional accomplishment in your field
8. Evidence of submitted competitive grant proposals, even if not funded
9. You may wish to solicit support letters from colleagues external to Utica University and or from professional organizations to provide perspective on your professional accomplishment
10. While work done prior to your time at Utica University is not considered during the tenure/continuous appointment deliberations, a record of your publications and presentations while at other institutions (to show the continuity and extension of your research agenda) is suggested. This continuity and extension should be discussed in your Reflective Statement on Professional Accomplishment.

Service

1. Your tenure/continuous appointment Reflective Statement on Service is a culmination of your pre-tenure/continuous appointment experience in service to the University and your profession.
2. Some examples of service include committee memberships, participation in Admissions and other University events, volunteer work in the community, and community board memberships, etc.
3. Documentation regarding any service to your professional community while at Utica University (membership, leadership roles, significant accomplishment, etc.)

4. Documentation regarding any service to the Utica University community while at Utica University (elected and appointed committee membership, leadership roles, significant accomplishment, etc.)
 - a. Whereas service is important, typically, in the first year, greater focus is placed on teaching/librarianship and professional accomplishment.
 - b. Seek the advice of peers, mentors, and your school/library to find service that is appropriate to your skill set and interests.
 - c. Membership on the Governing Board or as an officer of AAUP-Utica is recognized as service.
 - d. Despite the preference of some members of the faculty, it is not required that you have served on a major elected committee by the time you come up for tenure. Many other appointed or elected committees, work groups, and task forces do work that is integral and important to the University.
5. Documentation regarding any service to your local community while at Utica University (committee membership, leadership roles, significant accomplishment, etc.)
6. Acknowledgment for service on or off campus (support letters, awards, etc.)
7. Service contributions at previous institutions can be included if they contribute to an understanding of your service while at Utica University. A discussion of this contribution should be included in your Reflective Statement on Service
8. Campus (intramural) Presentations and Publications

Procedures for Consideration of Tenure (Faculty) or Continuous Appointment (Librarians)

The criteria for faculty tenure and librarian continuous appointment may be found in the [Collective Bargaining Agreement \(CBA\)](#) between Utica University and the American Association of University Professors Utica University Chapter ([AAUP-Utica](#)), as the same may be amended. If this procedures document conflicts with the aforementioned Agreement, the Agreement shall prevail. Utica University faculty hired on a tenure track are informed upon initial appointment when they will be evaluated for tenure. This evaluation generally occurs in the sixth (6th) year of appointment but may occur earlier when time toward tenure is granted upon initial appointment.

PROCEDURE

- 1.
- 2.
- 3.



Timetable for Tenure and Continuous Appointment

- **June 1:** The Provost shall notify the Deans of faculty members in their Schools who are eligible for tenure consideration and their order for consideration, as well as notifying the Dean of the Library of librarians eligible for continuous appointment
- **June 15:** Candidates for tenure or continuous appointment during the upcoming academic year are notified by their Dean of their upcoming consideration
- **August 15:** Candidates will submit all information to be considered in the tenure evaluation to the School Dean, and librarians will submit all information to the Dean of the Library
- **September 15:** School Tenured Faculty should complete their consideration of faculty, including submission of a faculty letter at least one week before consideration by the Faculty Affairs Committee (FAC) and by September 15, if possible. The Dean's letter must be submitted in the same time frame. Already continuously appointed librarians will follow the same schedule and submit their letter to the Dean of the Library

Candidate's Responsibilities

1. **Consult with your School Dean, Dean of the Library, and senior members of the faculty and librarians for guidance** in preparing the Summary of Professional Activities and any other material needed to document your case for tenure or continuous appointment. To ensure that all candidates have an equal opportunity to present written materials to the FAC regardless of when their consideration occurs during the year, written materials submitted to the FAC (e.g., Summary of Professional Activities, Reflective statements, etc.) may not be modified after August 15. It is essential that candidates solicit colleagues for feedback on materials prior to that date and make any and all desired corrections to materials before that date. During their formal consideration meeting, candidates will have the opportunity to update the FAC orally on changes to their dossier.
2. **Prepare and/or update your Summary of Professional Activities** with dates in chronological order beginning with the most recent since your date of hire, with dates and explanations of specific activities and their relative importance to your professionalism. The Summary of Professional Activities is to include:
 - a. Education and Professional Experience
 - b. Teaching/Librarianship (at Utica and other institutions)
 - c. Creative and professional accomplishment activities, including, but not limited to:
 - i. Whether peer-reviewed, juried or invited
 - ii. Audience (national, regional, state, local)

- iii. List in chronological order with the most recent first
 - d. Service (to the University and larger community)
 - e. Honors, fellowships, awards, grants, lectureships, etc.
 - f. Other relevant activities
- 3. **Prepare a Reflective Statement on Teaching or Librarianship.** The faculty member or librarian should show excellence and active interest in teaching and librarianship. In addition to evaluating class performance, the FAC shall consider, among other things, the faculty member's activities as an academic advisor and work done with students outside the classroom, student surveys and evaluation by peers in judging teaching performance, and improvement of existing courses. The FAC may weigh these criteria as it sees fit on a case-by-case basis.
- 4. **Prepare a Reflective Statement on Professional Accomplishment.** The faculty member or librarian should show clear evidence of creative and professional accomplishments appropriate to his or her field. The FAC shall consider appropriate scholarly and/or appropriate creative activities in the faculty member or librarian's field. Scholarly publication is one of several possible measures of professional accomplishment.
- 5. **Prepare a Reflective Statement on Service.** The faculty member or librarian should show clear evidence of meritorious service to the teaching profession, the University, and/or the community at large. Service in the AAUP-UC and participation in admissions events shall each be recognized as one form of such service. Participation in curricular development outside of his or her teaching duties, preparation of documents for accreditation, self-study, and other professional service shall also be recognized as service.
- 6. **Prepare a Supplemental File.** (optional) Includes supporting documents/materials of your choice relevant to the case for tenure or promotion.
- 7. **Review your file to make sure it is complete and ready for submission** to your Dean for the Tenured Faculty and Continuously appointed Librarians and the FAC by August 15. Copies of Student Opinionnaires on Teaching (SOOTs) are required and will be made available by the school for FAC review. We encourage you to be collecting and reviewing these after every semester.
- 8. **Be available for questions (on call)** when FAC conducts your tenure/continuous appointment consideration. You will be advised as to the date(s) and time(s). Additional information on what to expect can be found in the Day of Your Appearance Before the FAC section of this document. Members of FAC understand that it may be an inconvenience to pull you out of a class, your research, committee work or some other important activity to meet with the committee, but we have learned over the years that having a set meeting time is essential to the successful function of this committee; we regret the necessary disruption, but your case is important to us.

9. **Flexibility** - While we acknowledge that this is a stressful time for each Candidate, please note that the FAC will make every effort to consider your case on the date scheduled. However, there are many factors that may impact this date that have nothing to do with the consideration of the candidate scheduled for that date. If we change your date of appearance, it is not a reflection on your case, but the reality of our very careful and methodical process of review of each case and the other work that the FAC performs.

Other Information

- Student opinionnaire scores and grade distribution reports for the tenure track years at Utica University will be supplied by the School Office.
- Letter from the School Tenured Faculty and Continuously Appointed Librarians summarizing the discussion and vote.
- Letter of recommendation from the School Dean and Dean of the Library.

Dean's Responsibilities

1. Distribute this document to candidates. Notify faculty members in writing of deadlines for tenure considerations by the Tenured Faculty and Librarians and the FAC. This is to be done by June 15
2. Provide guidance for each candidate who is eligible for tenure or continuous appointment consideration
3. Schedule Tenured Faculty and Librarian meetings for consideration of each candidate at least two weeks prior to the scheduled consideration of the candidate by the FAC, preferably by September 15
4. Make Tenured Faculty and Librarians aware of the availability of the candidate's electronic file and electronic supporting materials and allow sufficient time for review prior to consideration. Acquire opinionnaire scores and peer reviews, and make them available to the Tenured Faculty and Librarians and the candidate as appropriate
5. The school office/dean is responsible for adding the electronic materials to the dedicated website for review by the school-tenured faculty and continuously appointed librarians.
6. Ensure that all elements of the evaluation criteria are addressed, for example, the evaluation of teaching should also include the candidate's activities as an academic advisor and work done with students outside the classroom.
7. Discuss balance and future plans concerning the direction of the School/Library and the University as provided in the bargaining agreement.



8. Lead School/Library discussion and vote on the three criteria and the overall recommendation for each candidate.
 - a. excellence and active interest in teaching/librarianship
 - b. evidence of creative professional accomplishment/activity
 - c. meritorious service to the teaching/librarian profession, the University, and the community
 - d. overall recommendation for tenure/continuous appointment
 - e. While not germane to the consideration of tenure or continuous appointment, the dean should further facilitate a conversation on leadership when related to a faculty member's candidacy for promotion from associate professor to professor, consistent with the [CBA](#)
9. Assure that a Tenured Faculty/Librarian's recommendation is written addressing the criteria described in #8 above on all information presented at the consideration meeting.
10. Make sure the Tenured Faculty/Librarian's are aware of the availability of their letter of recommendation in the review portal for comments before it is added to the candidate's folder.
11. Develop an independent Dean's letter of recommendation addressing the criteria described in #8 above, based on all the information presented in the candidate's file. This letter should be a candid and original appraisal by the Dean, not a restatement of the Tenured Faculty or continuously appointed Librarian's recommendation. The letter must be submitted a minimum of one week prior to the candidate's FAC review date. This letter must also include:
 - a. Any Academic Administrative positions held
 - b. Any course release the candidate receives
 - c. Comments regarding the expected duties of the academic administrative position and whether these are in-line with normal chair or director duties or unusual in some way
 - d. If the candidate is bringing in time towards tenure and how much time
 - e. If the candidate has received release time for a reason other than an Academic Administrative position (e.g., course development, grant work, research, etc.)
 - f. This information should address each year of a tenure or promotion journey.
12. Upon the completion of the tenured faculty/librarian deliberations, share the letters of the tenured faculty/continuously appointed librarians and Dean with the candidate and provide an opportunity to discuss the results.
13. Deliver the candidate's completed file (electronically, absent exigent circumstances) to the FAC at least one week prior to the candidate's consideration by the FAC. This includes, but is not limited to:

- a. Summary of Professional Activities
 - b. Reflective statements
 - c. Grade Distribution Report (faculty)
 - d. Student evaluations (opinionnaires) from date of hire
 - e. Peer evaluations (in reverse chronological order with the most current first)
 - f. Reappointment letters from the previous four years
 - g. Tenured Faculty/Librarian's letter of recommendation
 - h. Dean's letter of recommendation
 - i. Also included should be one copy of the Supplemental File used by the Tenured Faculty/Librarians in their considerations.
14. Be available for questions (on call) when FAC is considering the candidate.

Consideration Procedures of FAC

1. A positive motion is made to recommend candidates for consideration for tenure/continuous appointment.
 - a. As a general rule, only one candidate is considered at each meeting.
 - b. Discussion followed by members of the FAC.
 - c. The Dean is invited in for consultation.
 - d. The FAC reserves the right to call in others to clarify any point(s) of concern
 - e. The candidate is invited in and is asked to update the committee on any changes since submission of materials and is expected to respond to questions.
 - f. Upon completion of the discussion, a vote is taken by anonymous ballot.
 - i. A quorum is 6 voting members of 9 total members.
 - ii. Ratio to Pass:
 1. 6 of 9 members present
 2. 6 of 8 members present
 3. 5 of 7 members present
 4. 4 of 6 members present
2. At the next FAC meeting, the request is made by the Provost or Chair *pro tem* for first reconsideration of the candidate. Reopening of consideration is made if any member requests it. Deans or others may be called in for consultation. A second vote is taken using the same procedure and ratio to pass.
3. At the end of review of all tenure/continuous appointment candidates, the request is made by the Provost or Chair *pro tem* for a second reconsideration of each candidate.
 - a. Reopening consideration requires a majority affirmative vote of the members present.

- b. If reopened and once discussion is completed, a third vote is taken using the same ratio to pass.
 - c. For all negative recommendations on promotion, tenure or continuous appointment, the FAC will write a letter to the candidate.
 - i. The purpose of the letter will be constructive, not prescriptive, and is intended to assist the candidate in remediating issues that FAC feels weighed against a positive recommendation.
 - ii. The Provost will present the letter to the candidate during their individual meeting. The letter will not be included in the faculty member's official file.
4. The Provost advises the candidate of the recommendation of FAC. If the recommendation is negative (not to recommend tenure/promotion/continuous appointment), the candidate may request reconsideration to the FAC as stated in the collective bargaining agreement (Appeal).
 - a. If the candidate requests reconsideration, the process proceeds as specified in the bargaining agreement.
 - b. The candidate again meets with the FAC and presents their case on Appeal.
 - c. The candidate also has the right to present his/her case with the assistance of a bargaining unit member of their choice.
 - d. The FAC votes on the Appeal, and reports the same to the Provost.
 5. The Provost conveys the recommendation of FAC to the President with his or her own recommendation.
 6. In the event of an irreconcilable disagreement, the recommendations of the FAC and the Provost shall be forwarded to the President for his or her consideration.
 7. The decision to grant tenure, promotion, or continuous appointment shall ultimately be the prerogative of the President and the Board of Trustees of the University. A faculty member shall be notified in writing by the Provost of the grant or denial of tenure, promotion, or continuous appointment.

Other Procedures

1. It is the responsibility of the candidate to provide full documentation to the FAC, and one cannot expect that the FAC will ask for missing information.
2. The FAC reserves the right, however, to request additional information at its discretion, including conversations with other members of the University community
3. Materials considered by the school/library and the FAC must be the same to ensure consistency of consideration.
4. The FAC may send back school/librarian recommendations containing too little information relating to their discussion.

5. In-class peer evaluations should be conducted on a regular basis to be discussed in School letters to FAC.
6. When considering the balance (distribution of specialties within a discipline) and future needs of the University in School/Library decisions, the FAC may request the estimates of Deans (in consultation with the Tenured Faculty/Librarians), and the Provost with respect to the following kinds of evidence:
 - a. Past, present, and projected student enrollment (said projection to be based on available local, regional or national data) in the University as a whole and in the appropriate discipline or subject area
 - b. Past, present and projected individual and School faculty loads.

Procedures for Consideration of Promotion of Faculty and Librarians

The criteria for faculty and librarian promotion may be found in the [Collective Bargaining Agreement \(CBA\)](#) between Utica University and the American Association of University Professors Utica University Chapter ([AAUP-Utica](#)), as the same may be amended.

If this procedure document conflicts with the aforementioned Agreement, the Agreement shall prevail. The evaluation for promotion before the FAC shall take place consistent with the [CBA](#).



Timetable for Promotion Consideration

- **June 1:** The Provost shall notify the Deans of faculty members and librarians who are eligible for promotion consideration
- **June 15:** Candidates eligible for promotion during the upcoming academic year are notified by their Dean of their upcoming consideration
- **September 1:** Candidates will notify their Dean of their intent to be considered for promotion.
- **September 15:** Candidates will submit all information to be considered in the promotion evaluation to their dean
- **October 15:** School Tenured Faculty and Librarians with continuous appointment should complete their consideration of candidates including submission of faculty and librarian letters at least one week before consideration by the Faculty Affairs Committee (FAC). The Dean's letter must be submitted in the same time frame. Already continuously appointed librarians will follow the same schedule and submit their letter to the Dean of the Library

Candidate Responsibilities for Promotion

1. Candidates for promotion should follow the guidelines outlined herein under the Procedures for Tenure and Continuous Appointment section, as the [CBA](#) does not currently distinguish key criteria between tenure/continuous appointment and promotion.
2. Faculty candidates seeking promotion from associate professor to professor should submit an additional Reflective Statement on Leadership and related supporting documents/materials consistent with the [CBA](#) related to their leadership bonafides in support of the candidates case
3. Candidates may seek tenure/continuous appointment and promotion at the same time.
4. While the FAC may consider both tenure/continuous appointment and promotion at the same time, separate actions/votes by the FAC are taken.

Procedures for Consideration of Emeritus Status

The current CBA notes in part, “The Faculty Affairs Committee (“FAC”) shall consider and recommend to the Provost and the President on matters related to appointment, promotion, tenure, and emeritus status of faculty members and librarians,” as the same may be amended. Absent further guidance on the qualitative evaluation of emeritus candidates in future iterations of the CBA, the FAC refers potential emeritus candidates and members of the administration to the CBA. Documentation related to items enumerated in the CBA should be presented to the FAC for their consideration during their deliberations.

