

LOCK HAVEN UNIVERSITY OF PA STATEMENT OF PROMOTION POLICIES AND PROCEDURES

DATES OF REVISION: 10/19/05

I. INTRODUCTION

Promotion results from the recognition of excellence in a faculty member's overall performance. A recommendation that a candidate be promoted to a higher rank (from Instructor to Assistant, from Assistant to Associate, from Associate to Professor) is based upon the combined judgment of a departmental promotion committee, the departmental chair, and the University-wide Promotion Committee (UPC), a body of seven peers elected by the faculty. The UPC sends its recommendations to the President of the University who, as this institution's chief administrative officer, may grant promotions.

This document comprises Lock Haven University's Statement on Promotion Policies and Procedures in accordance with the terms of the Agreement between [the] Association of Pennsylvania State College and University Faculties (APSCUF) and [the] State System of Higher Education (SSHE). This agreement, referred to as the Collective Bargaining Agreement (CBA) throughout this document, addresses the topic of promotions in Article 16 of the current agreement.

A candidate for promotion must satisfy the minimum qualifications as described in Section II of this document. Meeting these qualifications is necessary for consideration, but is not sufficient to warrant a recommendation. The UPC recommends for promotion only those applicants who demonstrate excellence as measured by the criteria explained in Section III below.

The University has a statutory, contractual, and moral obligation to advance equal employment opportunity through affirmative action. Individuals and committees throughout every stage of the promotion process will take every precaution not to apply standards and criteria in a manner that discriminates against any faculty member on the basis of race, creed, sex, disability, life style, family status, age national origin, APSCUF membership or activity or lack thereof, political belief and/or affiliation, or on account of any other basis prohibited by law.

II. MINIMUM QUALIFICATIONS FOR PROMOTION TO RANK

The following information addresses the specific eligibility guidelines for those faculty members seeking promotion to a higher rank.

A. General Introductory Remarks

1. Initial appointment to the faculty should be made at a rank appropriate to appointee's experience. This determination is made by the administration in consultation with the appropriate department.
2. Applications from candidates seeking promotion will not be considered during the first two years at Lock Haven University.

3. Candidates must meet all minimum qualifications (with the exception of years of service in rank) by February 1 of the academic year listed on the application. The current academic year counts towards years of service at rank.
4. Teaching experience will be considered as part of the minimum requirement for promotion only when the applicant's present job description directly requires or utilizes such experience.
5. Candidates should file their applications in one of two categories—teaching faculty or faculty whose basic areas of responsibility lie outside the classroom. Faculty with a mixed-workload (comprising teaching and non-teaching responsibilities, e.g., administrative faculty, librarians) may choose either category.
 - a. For applicants whose principal responsibilities lie within the classroom, teaching effectiveness will be used as the principal evaluative criteria. (Refer to Section III B.)
 - b. For applicants considered as faculty whose basic areas of responsibility lie outside the classroom, professional effectiveness will be used as the principle evaluative criteria. (Refer to Section III C.)
6. Those faculty who wish to apply for promotion under the '3% proviso' must be aware of the following:
 - a. Faculty without terminal degrees (e.g., Ph.D., Ed.D) may be considered for promotion to the rank of Professor only when the number of full professors is smaller than 30% of the total number of full-time faculty. Under these circumstances, "3% of the faculty may be granted full professorships on the basis of other qualifications than the doctorate when recommended by the president ..." (Act of the General Assembly No. 182, p. 5-6.)
 - b. The UPC will consider applications only if the petitioner demonstrates exceptional achievement and ability in terms of the numerical categories specified below (refer to Section III B 4 and Section III C 4).
 - c. A statement inviting applications under this proviso will accompany promotion-application information forwarded to all faculty members by the third week of the fall semester.
 - d. Faculty members requesting consideration under this proviso should submit an application to their department chair no later than November 1. In support of this request, they should outline their exceptional achievements and abilities.
 - e. A determination will be made on November 1 by the administration if this proviso applies to the current academic year. The UPC will advise those applicants only if their application cannot be considered.

- f. When faculty may be promoted under the 3% proviso, the UPC will process those appropriate applications and determine if each candidate meets the criteria.
7. Questions relating to the interpretation and clarification of these guidelines should be addressed to the current chair of the UPC.

B. Minimum qualification for promotion to specific ranks

1. Requirements for promotion to the rank of Assistant Professor include:
 - a. master's degree plus 10 hours of graduate credit, both related to the field taught;
 - b. four years of full-time teaching experience or equivalent; and
 - c. two years of teaching experience or equivalent at the rank of Instructor at Lock Haven University.
2. Requirements for promotion to the rank of Associate Professor include:
 - a. earned doctorate, 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 was taken (both degree and course work must be related to the field taught);
 - b. five years of full-time teaching experience or equivalent; and
 - c. three years of teaching experience or equivalent at the rank of Assistant Professor, at least two of them at Lock Haven University.
3. Requirements for promotion to the rank of Professor include:
 - a. earned doctorate or equivalent recognized by Board Policy that is related to the discipline taught;
 - b. seven years of full-time teaching experience or equivalent; and
 - c. five years of teaching experience or equivalent at the rank of Associate Professor, at least two of them at Lock Haven University.

III. Section III. of the 1996 policy (see addendum) describes the criteria and weighting to used for 2005-2006 promotion process. The following section will be effective for the 2006-2007 promotion process.
FACULTY CATEGORIES, CRITERIA FOR PROMOTION, AND WEIGHTING OF THOSE CRITERIA

A. Introduction

The guidelines outlined in this section address the two faculty categories considered in this process—teaching faculty and faculty whose basic areas of responsibility lie outside the classroom. Faculty whose load comprises both teaching and non-teaching assignments may apply in either category.

Specific and detailed documentation of a candidate's ability and achievement for each of the criteria listed below should be collected and assembled in a dossier that accompanies the candidate's application form. Note: opinions and statements, which merely draw summary conclusions without concrete support, will not be considered as evidence.

The candidate's promotion application, at this stage comprising the Candidate-Data Form / Personnel-Release Form, letter of justification, and dossier, should be available for review by the departmental promotion committee as well as the department chair. This information serves as the basis for letters generated on behalf of the candidate by both the departmental committee and the department chair. Finally, the entire promotion application, now including the supporting letters from the departmental committee and department chair, move on to the university President and the UPC.

B. Criteria for Promotion and the Weighting of those Criteria for Teaching Faculty

Each member of the teaching faculty applying for promotion will be evaluated on the following three criteria, listed in order of priority:

- teaching effectiveness;
- continuing scholarly growth and mastery of subject matter; and
- service, including contributions to university and/or the community

The following suggestions are offered to aid candidates in addressing each of these points. However, candidates are encouraged to provide other supportive materials and not be restricted to these examples.

1. Teaching effectiveness

This is the most important criterion. Evidence of effective teaching will include:

- a. Student evaluations: Copies of all student-evaluation summaries should be included in the candidate's dossier. In addition, the candidate should provide an analysis of these summaries, specifically addressing any points of concern.
- b. Peer evaluations: Classroom visitation summaries; departmental and chair evaluations; peer-coaching analyses; and solicited and unsolicited letters of

support are all considered in this category. Where appropriate, the candidate may provide comments that address any statements made in these documents.

- c. Student mentoring: The candidate should document evidence of direct and indirect student support, including academic advising; overseeing student project work; identifying off-campus learning opportunities; guiding student research; and interaction in other realms beyond the obligatory and contractual classroom and laboratory responsibilities.
 - d. Teaching materials and philosophy: The candidate is urged to include course schedules (a.k.a. syllabi), course-related handouts, assignments, examinations or other assessment tools, and any other materials that provide insight into the overall level and quality of teaching. The candidate should provide explanations of materials that may not be obvious to those outside of the specific teaching environment.
 - e. Other: The candidate may provide evidence of the implementation of innovative pedagogical methods, materials, or strategies. In addition, specific details of course development or program revision should be documented.
2. Continuing Scholarly Growth and Mastery of Subject Matter.
- a. Continuing scholarly growth is necessary for a faculty member to increase the mastery of subject matter. Evidence for continuing scholarly growth includes some or all of the following:
 - 1) Graduate work beyond the terminal degree in a discipline that is related to the courses taught by the candidate.
 - 2) Attendance at professionally recognized workshops, seminars, institutes, and short courses related to the discipline or to pedagogy.
 - 3) Participation in organizations advancing the candidate's professional field or discipline.
 - 4) Development of new scholarly or practical insights as a result of systematic investigation by the candidate.
 - 5) Program and course development based upon original concepts that demonstrate new possibilities within the candidate's discipline.
 - b. Mastery of Subject Matter. Evidence of such mastery should be based upon some or all of the following:
 - 1) Attention is given to the highest degree the candidate has earned in the discipline. Furthermore, additional course work and formal investigations in the discipline, including post-doctoral research, should be indicated.
 - 2) Publications. Both the number and quality, as measured by reviews, citations, adoptions, outside professional evaluations, and stature of publishers will be taken into consideration. Note: an anthology that is merely a collection of another author's work is not the same as one

containing the candidate's original essays. An article in an alumni news publication is considerably different from an article published in a peer-reviewed professional journal. In lieu of publications, other comparable evidence, such as achievements in the arts, should be considered.

- 3) Invited or juried papers, or artistic presentations/performances. Again, the number and quality of such, as described in 2) above, should be taken into consideration.
 - 4) Testimony from recognized professionals in the candidate's discipline as to the candidate's demonstrated expertise.
 - 5) Program development and accreditation efforts.
 - 6) Consulting opportunities. Both the number and professional importance of these opportunities should be taken into consideration.
 - 7) Unpublished research in field of specialization. Documentation as to the relevance of such work should be included.
 - 8) Grant applications. Include copies of applications whether or not they were funded.
3. Service: This criterion includes contributions to Lock Haven University and/or the greater community. Evidence for such service will be based upon some or all of the following:
- a. Significant contributions to University committees. Mere membership on such a committee does not indicate that a candidate has participated significantly or made any important contributions to the work of the committee.
 - b. Special individual assignments benefiting the greater University.
 - c. Development of curricular or extracurricular proposals which benefit the University.
 - d. Significant contributions to University governance. Document the details as to the degree of participation.
 - e. Significant contributions to departmental committees. Again, document the degree of participation.
 - f. Significant contributions to student organizations or activities.
 - g. Participation in the greater community in a manner that brings recognition to the University. Refer also to the CBA Article 12.B.3.
4. Weighting of the criteria: The respective weighting of the three factors in promotion—teaching effectiveness, scholarly growth, and service will be as follows:
- Teaching Effectiveness60 points

Scholarly Growth.....25 points
Service.....15 points
Up to 3 extra-credit points may be awarded for the recognition of outstanding teaching effectiveness, scholarly growth, and/or service.

Point values will be assigned as follows:

a. TEACHING EFFECTIVENESS 60 points

- Student Evaluations.....20 points
(consideration given to types of courses (e.g., general education, majors only, upper division, new courses, grade distributions), use of student feedback, and size of classes)
- Peer Evaluations..... 10 points
(e.g., classroom observations, evaluations from departmental committees, chairs, and deans, letters of recommendation, peer-coaching results)
- Student Mentoring10 points
(e.g., advising, overseeing independent-study projects, guiding student research, graduate- school and career counseling)
- Teaching Materials and Philosophy15 points
- Other..... 5 points
(e.g., innovative pedagogy, course development, program revision)

b. SCHOLARLY GROWTH 25 points

Continuing Scholarly Growth (see III B 2 a) and/or
Mastery of Subject Matter (see III B 2 b)

c. SERVICE 15 points

University, community, and professional service (see III B 3)

d. EXTRA CREDIT 3 points

C. Criteria for Promotion and Weighting of those Criteria for Faculty whose Basic Areas of Responsibility Lie Outside the Classroom

For faculty whose basic areas of responsibility lie outside the classroom (CBA, Article 12.D), a Professional Effectiveness category will be used rather than a Teaching Effectiveness category.

1. Professional effectiveness

This is the most important criterion. Evidence of professional effectiveness includes:

- a. Supervisor, peer, and student evaluations (where applicable): Copies of all evaluation summaries should be included in the candidate's dossier. In addition, the candidate should provide an analysis of these summaries, specifically addressing any points of concern. These faculty members must provide the official description of their assigned duties.
- b. Other: Candidates may provide evidence of the implementation of innovative and relevant methods, materials, or strategies when these can be thoroughly documented.

2. Continuing Scholarly Growth and Mastery of Subject Matter. (Refer to Section III B.2.a. & b.)

3. Service (Refer to Section III B.3)

4. Weighting of the criteria: The respective weighting of the three factors in promotion—professional effectiveness, scholarly growth, and service will be as follows:

Professional Effectiveness	60 points
Scholarly Growth.....	25 points
Service.....	15 points

Up to 3 extra-credit points may be awarded for the recognition of outstanding professional effectiveness, scholarly growth, and/or service.

Point values will be assigned as follows:

a. PROFESSIONAL EFFECTIVENESS 60 points

- Peer, managerial and, where applicable,40 points
Student Evaluations (e.g., observations, evaluations from departmental committees, chairs, and deans/directors, letters of recommendation)
- Professional philosophy and materials.....15 points
created to fulfill contractual responsibilities (e.g., policies, handbooks, forms, grants, teaching materials)
- Other.....5 points
(e.g., innovative programs, procedures)

- b. **SCHOLARLY GROWTH** **25 points**
Continuing Scholarly Growth (see III B 2 a)
and/or Mastery of Subject Matter (see III B 2 b)
- c. **SERVICE** **15 points**
University, community, and professional service (see III B 3)
- d. **EXTRA CREDIT** **3 points**

IV. PROMOTION APPLICATION AND TIME LINE FOR APPLICATION PROCEDURE

A. Promotion Application

A complete promotion application comprises several parts, each listed below along with an explanation. Recognize that this application gains additional components as it moves through the process. The final application dossier that is submitted to the UPC on February 1 by the chair of the candidate's department should be assembled in a single, three-ring binder and must be complete as submitted. The UPC, however, reserves the right to request additional information during the review process.

1. Candidate-Data Form / Personnel-Release Form: a two-sided form that must be completed by the candidate applying for promotion on or before November 1 of the academic year in which the candidate is submitting an application. This form, available from the Chair of the UPC, will be mailed to all faculty through campus mail by the third week of the semester.
Note: the Personnel-Release Form allows a member of the UPC to access a candidate's personnel file for review purposes only. These files are securely maintained in the office of the Academic Vice President. A candidate may choose to deny the UPC members access to this file.
2. Justification Letter: a letter written by the candidate to the chair of the appropriate department stating that the minimum requirements for promotion have been met and that the candidate's abilities and achievements warrant promotion.
3. Candidate's Narrative and Supporting Documentation: a dossier comprising specific and detailed documentation of the candidate's abilities and achievements in each of the criteria listed above. A current curriculum vitae is required.

B. Promotion Timeline

The following steps outline timing of the promotion procedure along with any dates that serve as deadlines.

- Step 1. Faculty seeking promotion should submit a completed Candidate-Data Form/Personnel-Release Form along with a justification letter to the chair of the appropriate department as soon as possible in the fall semester.
- Step 2. In a timely fashion, upon receipt of a candidate's Candidate-Data Form/Personnel-Release Form and, after verifying that the candidate has met the minimum requirements as indicated in the justification letter, the department chair will constitute a departmental promotion committee.
- Step 3. Candidates should submit their promotion dossier to the appropriate departmental chair no later than November 1.
- Step 4. After verifying that the candidate's promotion application is complete at that stage of the process, the chair turns over the application to the chair of the departmental promotion committee.
- Step 5. Departmental promotion committee reviews the candidate's complete application. Upon completion of that review process, the committee drafts a letter indicating their level of support for the application and sends this letter to the chair of the UPC by February 1. The departmental promotion committee shall inform the candidate of their recommendation. The candidate's promotion application is returned to the department chair.
- Step 6. Department chair reviews the candidate's complete application. Upon completion of that review process, the chair drafts a letter indicating his/her level of support for the application and sends this letter to the chair of the UPC by February 1. The department chairperson shall inform the candidate of his/her recommendation.
- Step 7. The promotion application shall be placed in a secure common location, no later than January 7, to allow access by the Dean, and Provost in addition to the department promotion committee and department chair. The Dean reviews the candidate's complete application. Upon completion of that review process, the Dean drafts a letter indicating his/her level of support for the application and sends this letter to the chair of the UPC by February 1. The Dean shall provide a copy of his/her recommendation to the candidate
- Step 8. The appropriate department committee and department chairperson shall submit the full list of applicants, together with a detailed recommendation in accordance with the University Statement on Promotion Policies and Procedures with respect to each applicant, in writing, to the chair of the University-wide promotion committee no later than February 1.

At the same time, a copy of the list of applicants shall be forwarded to the appropriate Dean or other appropriate management personnel.

In addition, all data and materials upon which the recommendation of the department committee is based shall be forwarded to the President or his/her designee by February 1 (unless the date falls on a weekend, whereby the submittal date will be the following Monday). If the committee or chairperson fails to submit a recommendation to the University-wide promotion committee by the appropriate date, the applicant may submit the application and supporting material directly to the University-wide promotion committee.

- Step 9. The Provost reviews the candidate's complete application. Upon completion of that review process, the Provost drafts a letter indicating his/her level of support for the application and sends this letter to the chair of the UPC by February 21. The Provost shall provide a copy of his/her recommendation to the candidate.
- Step 10. Review of all applications by all seven members of the UPC. Before the UPC finally ranks candidates, material in the applicant's file must include recommendations from Dean and Provost, as specified in the CBA. The applicant must have had an opportunity to review and to respond to these recommendations in accordance with the CBA.
- Step 11. Scheduled voluntary appearances by the candidates before the entire UPC.
- Step 12. UPC chair informs each candidate of their ranking by letter no later than April 1.
- Step 13. Candidates may exercise their option to meet with the UPC Chair and one other committee member to discuss their ranking. (Refer to VII B 7 below)
- Step 14. Ranking of candidates along with all candidates' files sent to the President or the president's designee no later than April 15.
- Step 15. The President informs candidates and announces promotion decisions no later than July 15.
- Step 16. Promotions become effective at the beginning of the succeeding fall semester.

V. ROLE AND RESPONSIBILITIES OF THE DEPARTMENTAL PROMOTION COMMITTEE IN THE PROMOTION PROCESS

Clearly, the specifics of the operation of a departmental promotion committee should be at the discretion of each department. However, general operating guidelines are listed below.

A. Committee Membership

- 1. Each department will elect not fewer than three persons to serve as the departmental promotion committee.

2. Neither the department chair or temporary faculty members will be eligible as members.
3. No person who is applying for promotion to any rank will be eligible for election to membership.
4. No faculty member will serve on a departmental promotion committee when a member of his/her immediate family or a person residing in his/her household is a candidate for promotion. Immediate family is defined as spouse, child, stepchild, parent, step-parent, parent-in-law, brother, sister, brother-in-law, or sister-in-law.
5. Except in special circumstances, no non-tenured person will be eligible to serve on the committee. In the event there are an insufficient number of eligible faculty members remaining to form a committee, the procedure identified in Article 12, C.1.a, of the CBA will apply.
6. Elections may be by secret ballot.
7. All elections should be completed no later than October 15.

B. Committee Responsibilities and Procedures

1. Members of the departmental promotion committee will elect a chair who will be responsible for overseeing the promotion process within the department.
2. The committee will examine all of the evidence submitted with the application and will evaluate it according to the University-wide criteria. This includes all student, faculty, Dean, and chair evaluations.
3. The committee will be responsible for the authentication of all documents in the application.
4. Before the committee makes any recommendations, it will advise candidates of their right to appear before the committee in order to address any questions concerning their application.
5. The committee will prepare a detailed recommendation of each applicant.
 - a. This recommendation should be sent directly to the chair of the UPC by Feb. 1.
 - b. A copy of this recommendation will be given to the candidate as soon as possible and prior to the submittal of the candidate's dossier to the departmental chair. The committee will provide the candidate with the reasons for the recommendation.
 - c. The candidate reserves the right to respond to this document in writing and to include this response in their application dossier.

VI. ROLE AND RESPONSIBILITIES OF THE DEPARTMENT CHAIR IN THE PROMOTION PROCESS

- A. The department chair will conduct the election of the department promotion committee (see V.A.1).
- B. The department chair will receive completed copies of the Candidate-Data Form/Personnel-Release Form along with justification letters from those faculty seeking promotion by November 1.
- C. Upon receipt of those documents and, after verifying that those faculty have met the minimum requirements as indicated in the justification letters, the department chair will ensure that the departmental promotion committee convenes and elects a chair in a timely fashion.
- D. The department chair will receive completed promotion dossiers from those faculty no later than November 1.
- E. After verifying that the faculty promotion applications are complete at that stage of the process, the department chair will turn over the applications to the chair of the departmental promotion committee.
- F. The department chair will receive completed promotion dossiers from the departmental promotion committee following its review.
- G. The department chair will review each candidate's complete application. Subsequently, the chair will draft a letter indicating the appropriate level of support for each application based on the criteria described in section III. The department chairperson shall inform all candidates of his/her recommendation. Further, the department chair must provide each candidate with the reasons for his/her recommendation. The department chair will submit all the recommendations to the UPC no later than February 1, with a copy of the list of applicants being forwarded to the appropriate Dean or other appropriate management personnel.
- H. 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.I. In the event that the Department chair is an applicant for promotion, the chair pro tem or a member of the department designated by the department to act in place of the chair for this procedure, will

review the applications and file the appropriate letters of support on behalf of the applicants.

VII. ROLE AND RESPONSIBILITIES OF THE DEAN IN THE PROMOTION PROCESS

- A. The Dean will review each candidate's complete application excluding the recommendations from department promotion committee and department chair. Subsequently, the Dean will draft a letter indicating the appropriate level of support for each application based on the criteria described in section III. The Dean shall provide a copy of his/her recommendation to each candidate. Further, the Dean must provide each candidate with the reasons for his/her recommendation. The Dean will submit all the recommendations to UPC no later than February 1.
- B. In making his/her independent recommendation, the Dean is not permitted, under the CBA, to review the recommendations of the department chairperson or the department committee prior to submitting his/her recommendation to the UPC.
- C. No Dean shall submit a recommendation regarding the application of a member of his/her immediate family, as defined in the CBA, or a person residing in his/her household.

VIII. ROLE AND RESPONSIBILITIES OF THE PROVOST IN THE PROMOTION PROCESS

- A. The Provost will review each candidate's complete application. Subsequently, the Provost will draft a letter indicating the appropriate level of support for each application based on the criteria described in section III. The Provost shall provide a copy of his/her recommendation to each candidate. Further, the Provost must provide each candidate with the reasons for his/her recommendation. The Provost will submit all the recommendations to UPC no later than February 21.
- B. In making his/her independent recommendation, the Provost is permitted, under the CBA, to review the recommendations of the department chairperson the department committee, and the Dean prior to submitting his/her recommendation to the UPC.
- C. No Provost shall submit a recommendation regarding the application of a member of his/her immediate family, as defined in the CBA, or a person residing in his/her household.
- D. 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 shall submit a recommendation.

IX. ROLE AND RESPONSIBILITIES OF THE UNIVERSITY PROMOTION COMMITTEE (UPC)

A. UPC Membership and Organization

1. The UPC, comprising seven members, will be nominated from and elected by members of the Bargaining Unit under the terms of the CBA.
2. Only tenured faculty will be eligible for membership on this committee.
3. The Nominations and Elections Committee is encouraged to exercise diligence in seeking faculty who are willing to make the significant time commitment necessary to fulfill all of the obligations of membership of this committee.
4. Committee membership should be as representative as possible of the various components of the faculty.
 - a. At least three members will be from the College of Education and Human Services, and at least three members will be from the College of Arts and Sciences. One member will be designated as an at-large member.
 - b. Three committee members will have terms that expire in even-numbered years and four members will have terms that expire in odd-numbered years.
 - c. Only one committee member may be elected from each department.
5. In the event that a vacancy occurs prior to the expiration of a term, an election will be held in a regular or special meeting of the Bargaining Unit to fill the vacancy for the remainder of that term. In an emergency, the LHU Executive Council may appoint a previous member of the UPC, from the appropriate college, until the ranking is completed. If the resigning member had another year to serve, an election for a replacement will be held after the rankings are sent to the university president.
6. No faculty member will serve on this committee to consider their own application or that of an immediate family member or a person residing in his/her household is a candidate for promotion. Immediate family is defined as spouse, child, stepchild, parent, step-parent, parent-in-law, brother, sister, brother-in-law, or sister-in-law.

B. UPC Responsibilities and Procedures

1. The committee will meet for organizational purposes no later than the third week of the fall semester.
 - a. The committee will elect a chair and a secretary to keep minutes of all decisions and actions.

- b. The committee will establish any rules for carrying out its responsibilities that it will deem necessary as long as such rules do not conflict with this promotion policy, the SSHE's Promotion Guidelines, or the CBA.
2. The committee will see that all members of the Bargaining Unit receive copies of this document as well as the Candidate-Data Form/Personnel-Release Form by October 1.
3. It will be the responsibility of the committee to aid faculty members and answer questions throughout this procedure.
4. The Chair collects recommendations from department promotion committees, department chairs, and Deans that are submitted prior to February 1. After February 1, the Chair places the recommendations into the application binders and arranges access to the applications and supporting data.
5. The committee will examine and evaluate all applications, supporting evidence, and recommendations submitted to it using the University criteria set forth in this statement. Members may also examine candidates' personnel files during this review process with the candidate's permission.
6. Information, testimony, or other evidence, apart from that supplied by the applicant, the department chair, the departmental committee, Dean, or Provost and may be considered by the UPC, but will not be entertained unless submitted at the request of the UPC. In the event information, testimony or other evidence, apart from that supplied by the applicant, is considered, the candidate shall be provided with a copy of all such information, testimony or other evidence, and shall be provided with an opportunity to respond prior to the committee's recommendation.
7. Each candidate will be notified by the Chair of his/her right to appear before the entire committee.
 - a. This opportunity allows candidates to provide the committee with any relevant new materials or information since the February 1 filing deadline.
 - b. The candidate is also encouraged to use this opportunity to present their case for promotion.
8. If the UPC is not satisfied with the justification the department chairperson, department committee, Dean, or Provost makes for its recommendations, the UPC will return the matter to the department chairperson, department committee, Dean, and/or Provost with the nature of the requested clarification. The UPC may then evaluate the department chairperson's, department committee's, Dean's, or Provost's recommendations and response and make its own evaluation.

9. The committee will recommend that each candidate be promoted or not, according to its conclusions. Those candidates being recommended for promotion will be ranked within each professional level based on numerical order. The committee will include its judgment as to the merits of each applicant as well.
10. **Section VI. B.11. of the 1996 policy (see addendum) describes the calculation method to be used for 2005-2006 promotion process. The following description will be effective for the 2006-2007 promotion process.**

Each faculty member will be ranked within each professional level as follows:

 - Step 1: Each committee member will complete a promotion-rating form (PRF) for each candidate. (Refer to the two attached PRFs, one for teaching faculty (Appendix 5a), and another for faculty whose basic areas of responsibility lie outside the classroom (Appendix 5b).) A value will be assigned for each of the categories discussed above in III B for teaching faculty or III C for faculty whose basic areas of responsibility lie outside the classroom. (Note: the values per category on the PRFs and in III B and III C may not coincide. The values on the PRFs will be scaled to the appropriate values in Step 4 below.)
 - Step 2: The committee will compile all results of Step 1 on a promotion tally sheet. (Refer to the Promotion Tally Sheets (Appendix 6), one for teaching faculty and another for faculty whose basic areas of responsibility lie outside the classroom.)
 - Step 3: The two greatest values and the two least values of the seven total values per category will be deleted. The remaining three values will be summed to obtain a **trimmed sum** per category.
 - Step 4: The trimmed sum for each category will be divided by a quantity which simultaneously:
 - i. computes the arithmetic mean of the three values, and
 - ii. scales the mean value to the appropriate value in the desired range for that particular category.This new value is the **scaled trimmed mean** per category.
 - Step 5: The sum of all the scaled trimmed means for all categories will become the final promotion score for the candidate.
 - Step 6: Each faculty member will be ranked according to their final promotion score. Ties will receive the same rank with subsequent scores ranked appropriately (e.g., if two scores are tied for #2, the next score will be #4).
11. Each candidate will be sent the following information from the Chair no later than April 1:
 - a. the candidate's scaled trimmed mean values per category,

- b. the candidate's final promotion score,
 - c. the candidate's final ranking, and
 - d. the overall distribution of scaled trimmed mean values per category and final promotion scores for all candidates within the candidate's professional rank.
12. Within five working days of receiving the information outlined above (11 a-d), the candidate may request a meeting with the Chair and one other committee member to review this information.
13. The Chair will forward the complete, ranked-in-group list of candidates together with all recommendations and final promotion scores to the President no later than April 15.
14. Should the President have questions about the recommendations, the Chair will arrange a time for consultation between the President and the committee.
- a. At the President's request, the committee will supply supporting documents or testimony used in making the final recommendations.
 - b. In the event the President rejects a recommendation of the committee, that committee will be notified in writing and will be given an opportunity to discuss the matter with the President prior to the announcement of promotions.
 - c. The President is bound to employ the same criteria described in this document and in Article 16 of the CBA. However, the President is not required to use the numerical ranking procedure described herein.

X. GRIEVANCE RIGHTS

Article 16 B.11 speaks to grievance rights. This paragraph refers faculty to Article 5 titled Grievance Procedure and Arbitration (beginning on p. 5 of the current CBA).

SIGNATORY APPROVAL OF THIS DOCUMENT

This revision of the document titled—

Statement of Lock Haven University Promotion Policies and Procedures

has been approved by members of both the Lock Haven University Administration and the Lock Haven University Faculty at the Lock Haven Management/APSCUF Meet and Discuss on—

DATE: _____

by _____

Dr. Kwesi Aggrey, Provost and Academic Vice President
Lock Haven University, Lock Haven, PA

and _____

Dr. Mark Cloud, APSCUF Chapter President
Lock Haven University, Lock Haven, PA