COLLEGE OF ARTS & SCIENCES
PROCEDURES AND POLICIES FOR PROMOTION CONSIDERATION

Our policies relating to promotion consideration follow the general regulations for promotion provided in the Winthrop University Faculty Manual and the Faculty Roles document passed in April 2011. The following is an effort to summarize and systematize those procedures and policies as they apply to the College of Arts & Sciences and to specify certain other aspects of such procedures and policies which are appropriate for the College of Arts & Sciences.

Any policy or procedure in this document which is in conflict with the policies and procedures of Winthrop University as stated in the current Winthrop University Faculty Manual, the Faculty Roles document, or subsequent interpretive documents is superseded by the institution-wide policies.

Initiation of consideration

As stipulated by the Division of Academic Affairs, the dean shall send to each eligible faculty member by May 1, or by the deadline stipulated by the Division of Academic Affairs in its timeline, a promotion review form. Any faculty member requesting promotion review shall return the form to the department chair by June 1. In the absence of exceptional circumstances, failure to meet that deadline shall constitute waiver of promotion review. Any faculty member who believes that he or she is ready to be considered for promotion is encouraged to discuss this intent with the department chair. The purpose of this discussion is to provide the faculty member with formative feedback about her/his readiness for promotion. This meeting is suggested for informational purposes only. The decision to apply for promotion remains with the faculty member. Regardless of the advice of the chair, the faculty member who wishes to be considered for promotion may prepare and submit materials for review.

Materials to be submitted for promotion consideration

The candidate to be considered for promotion shall prepare a dossier containing the materials listed below. Candidates for promotion to the rank of Professor should include annual reports and comments since the date of their last promotion. Candidates applying for promotion to the rank of Associate Professor should include annual reports and comments beginning with their year of appointment. Candidates whose time in rank exceeds six years must include annual reports, chair’s comments, and dean’s comments covering the last six years; they may include additional years at their discretion. Materials should be clearly organized in chronological order.

A. A cover sheet containing the following information:
   - Date employed at Winthrop;
   - Rank at original appointment;
   - Date(s) promoted and years in each rank; and
   - Prior service credit granted at employment.
B. An application letter in the candidate’s own words requesting consideration for promotion, including an analysis/statement by the candidate explaining how he/she meets the qualifications for the requested promotion.

C. A table of contents:
   - Appropriate indexing tabs should be employed.
   - The location of materials outside the original binder/notebook must be indicated.

D. Current *curriculum vitae*.

E. Annual reports and evaluations, arranged in chronological order, to include:
   - All chair’s and dean’s comments;
   - Annual evaluations from secondary supervisors. This is relevant to faculty with secondary appointments in the Department of Interdisciplinary Studies, University College, or other campus units.

F. The College of Arts & Sciences Roles Alignment Statements regarding Student Intellectual Development, Scholarly Activity, Professional Stewardship, and Academic Responsibility. The candidate may include, at his/her discretion, the “Types of Undergraduate Research with Respect to Faculty Credit” grid appended to the Scholarly Activity Statement. These statements should be accompanied by additional departmental explanations where applicable.

G. A statement or report of activities associated with *Student Intellectual Development, Scholarly Activity*, and *Professional Stewardship* as defined by the College. (This statement may be integrated into B above.)
   - The candidate should discuss his/her activities related to *Student Intellectual Development* and clearly articulate how they meet or exceed the requirements for the faculty rank sought as defined in the College of Arts & Sciences Roles Alignment Statement on Student Intellectual Development.
   - The candidate should classify each artifact under *Scholarly Activity* according to the Priority levels defined in the College of Arts & Sciences Roles Alignment Statement on Scholarly Activity. The candidate may refer to the “Types of Undergraduate Research with Respect to Faculty Credit” grid appended to the Scholarly Activity statement.
   - The candidate should describe her/his Professional Stewardship activities and relate how these activities meet or exceed the expectations in the College of Arts & Sciences Roles Alignment Statement on Academic Responsibility and meet the criteria outlined in the College of Arts & Sciences Roles Alignment Statement on Professional Stewardship set forth for each rank.
   - The candidate should include additional departmental explanation where applicable.
   - The candidate should include tables or lists clearly outlining activities.
   - The candidate is encouraged to describe any noteworthy accomplishments and to describe activity where the impact or time needed may not be apparent to reviewers.

H. A statement of the candidate’s goals and plans for involvement and development over the next six years. This may be appended to the statement described in G above.
I. Evidence to support the activities specified in the candidate’s statement.

- Evidence in the area of *Student Intellectual Development* includes, but is not limited to, student course evaluations and syllabi. In addition, candidates may include sample exams or assignments, peer evaluations of teaching, and other information documenting the candidate’s achievements in this area of faculty review. Candidates whose time in rank exceeds six years should include materials from at least the last six years. Candidates whose time in rank is six years or less should include all materials since the last promotion or the date of initial appointment, as appropriate.

- Evidence in the area of *Scholarly Activity* includes, but is not limited to, copies of publications, conference presentations, videos, etc. which have been developed since the last promotion, with particular emphasis on the last six years. In the case of scholarly activity that is not developed in written form, the candidate should submit materials in the appropriate and accessible form.

- Evidence in the area of *Professional Stewardship* may include, but is not limited to, letters of appointment or thanks; publications, reports, or other documents generated; letters of support from colleagues; committee rosters; and the like, as they are readily available. Candidates whose time in rank exceeds six years should include materials from at least the last six years. Candidates whose time in rank is six years or less should include all materials since the last promotion or date of initial appointment, as appropriate.

- Candidates may request reference letters from former students, colleagues, research collaborators, and others with whom they have worked, at their discretion. The College recommends that such letters be sent directly to the department chair, or in the case that a department chair is a candidate for promotion, directly to the dean. The chair or dean (as appropriate) should add them to the portfolio immediately upon receipt.

- Other supporting documents pertinent to the review.

*Organizing the portfolio*

It is the responsibility of the candidate to have the portfolio well organized so it can be effectively reviewed at each stage of the evaluation process. Candidates may submit paper or electronic portfolios, or a hybrid of the two, consistent with the University’s promotion policy. When using electronic platforms (in part or entirely) the faculty member should make three identical copies available. One will remain in the CAS Dean’s office and the other two will be used during the review process at all levels. At such time that web-based options are made available, the faculty must create a copy of all materials on a CD or flash drive to remain in the CAS Office of the Dean throughout the review process.

In the case of paper portfolios, the portfolio should be organized in the following manner:

1. All letters, statements, annual reports, vita, etc. should be collected in hard-cover notebooks with the candidate’s name on the front and on the side.
2. A table of contents with appropriate indexing tabs should be employed.
3. A listing of any materials that are part of the portfolio but which are not in the notebook(s) should be included, preferably on the table of contents page. (This will ensure that no materials get separated from the candidate’s portfolio.)

4. Annual evaluations and other materials should be arranged in chronological order, with the most recent materials presented last. The semester/year should be clearly indicated on teaching evaluations.

Materials included in electronic or hybrid portfolios should use descriptive file names, and be organized so that reviewers can easily identify and locate the materials. Whenever possible, documents should be saved in .pdf formats rather than in editable formats to deter changes being made after submission. Materials must be stored in a secure environment, such as a shared drive on the Winthrop University server, the Blackboard course management system, or on CD or flash drives. They should not be stored in any unsecured medium.

Candidates submitting electronic or hybrid portfolios must provide a copy of their portfolios to the Dean’s office on a CD, flash drive, or similar medium. This copy will serve as a backup in case the files are corrupted or there is any suspicion of tampering during the review process.

Adding materials to the portfolio after submission

Candidates may add relevant materials to their portfolios after submission, with the permission of the dean. All individuals engaged in the review at the department or college level must be afforded the opportunity to review these materials and to revise their letters as they see fit. Once the portfolio leaves the dean’s office, the candidate may no longer add materials.

Departmental committees

In each year when persons request consideration for promotion, the department chair, in consultation with the candidate and dean, shall appoint a departmental personnel committee to evaluate faculty members wishing to be considered for promotion. The committee shall consist of no fewer than five tenured faculty members, all of whom hold the rank of Associate Professor or Professor and none of whom may be a person whose own promotion is a matter of consideration in that year. The department chair shall name one member of the committee as chair. This person shall receive from the chair all materials submitted by the candidate for promotion.

The department chair, in consultation with the candidate and dean, may appoint an interdepartmental committee if there are insufficient qualified faculty members within a department to constitute a committee of the required size, or if for other reasons it is desirable to the candidate to have extra-departmental representation. A majority of the members of this committee should, whenever possible, be members of the candidate’s home department. The department chair shall name one member of the committee as chair, preferably a member from the candidate’s home department.

If a department chair is to be considered for promotion in his or her capacity as a faculty member, the dean, in consultation with the candidate and the chair of the Arts & Sciences
Personnel Advisory Committee, shall appoint a special committee to consider the case. This committee shall meet the number and eligibility requirements stated above and shall ordinarily include at least one member (if eligible) from within the department. At least one member will be another department chair in the College of Arts & Sciences. Additional members shall be from outside the department. One member of the committee shall be named chair by the dean when the appointments are made. This committee shall make its recommendation directly to the Arts & Sciences Personnel Advisory Committee and the dean. The dean fulfills the role of the department chair as described in the procedures below.

**Committee procedures**

1. The committee shall consider all materials submitted by the candidate and any reference letters solicited by the candidate. However, neither the candidate nor any other individual may appear in person before the committee.

2. Individual members of the committee should not seek or receive information beyond what is contained in the portfolio. Committee members with relevant disciplinary knowledge (i.e. disciplinary norms, selectivity of a journal, prestige of a conference presentation, competitive nature of an award) may use and share this knowledge in the evaluation of a candidate. Requests for clarification or additional information shall be made by the chair of the departmental committee to the department chair. The department chair, in turn, will forward the request to the candidate. The candidate shall respond to the department chair, who will then add the materials to the candidate’s portfolio.

3. The committee shall consider the materials in the portfolio without regard to time in rank, other than to focus on the record compiled in the last six years for candidates with more than six years in rank.

4. No minutes of transactions or deliberations of the committee shall be kept.

5. The committee in its formal deliberations shall sit alone without the department chair present. The committee may meet with the department chair to present the results of its deliberations.

6. All deliberations of the committee shall be confidential and shall not be revealed to the candidate under consideration or to other outside agents except those persons who later participate in the evaluation process.

7. The committee shall evaluate the candidate in accordance with the criteria in this document, in the College of Arts & Sciences Roles Alignment Statements, the Faculty Roles document, and in the Faculty Manual.

8. The committee shall review all materials and after deliberation, make a recommendation for or against promotion of the candidate under consideration. A positive recommendation shall require a majority vote.
9. After making its decision, the committee shall make a written recommendation explaining in
detail the reasons for recommending for or against promotion. The written report must
contain an analysis of the extent to which the candidate’s scholarly activity complies with the
College’s alignment statement on Scholarly Activity, including a count by Priority Level. In
addition, the report must contain a description of how the candidate meets the other criteria
for promotion as described in the College’s other alignment statements.

- The committee’s response must include a clear statement indicating the recommendation
  and must highlight pertinent information or clarification for subsequent review bodies.
- When the decision of the committee is not unanimous, the report should indicate the
  areas of disagreement. If a single report cannot adequately represent the evaluation of all
  committee members, a minority report must be submitted along with the primary report.
- All committee members must sign either the primary report or minority report.

**Actions of the department chair**

When the department chair receives a report from a departmental committee, he or she shall add
to the dossier his or her independent judgment for or against promotion of the candidate. The
chair shall prepare a memo to the dean indicating in detail the reasons for agreeing or disagreeing
with the committee recommendation and shall forward it, along with the complete dossier and
the committee report, to the dean.

**Actions of the Arts & Sciences Personnel Advisory Committee**

After the department chair has added her or his statement to the dossier, the Arts & Sciences
Personnel Advisory Committee shall meet to consider all candidates submitted by chairs as well
as those coming from special committees. This committee shall then follow the general
procedures specified above, with the exception of making reports to the dean instead of the
department chair. The committee recommendation can refer to previous recommendations and
documents from the department committee and chair.

In cases where a personal or professional relationship precludes a fair evaluation of a candidate,
an Arts & Sciences Personnel Advisory Committee member may recuse himself/herself from the
deliberation of a candidate. This decision should be made in consultation with the dean.

**Actions of the dean**

After receiving recommendations from the departmental committee, the chair (if applicable), and
the Arts & Sciences Personnel Advisory Committee, the dean shall formulate an independent
judgment for or against promotion of the candidate. When the recommendation is positive, the
dean shall add a memo indicating the reasons for the recommendation for promotion.

In accordance with the procedures specified in the Faculty Manual, the dean shall privately
notify the candidate of the dean’s, chair’s, and committees’ recommendations.

As stipulated in the Faculty Manual, when the dean’s recommendation is positive, all materials
are submitted to Division of Academic Affairs. When the dean’s recommendation is negative, no
materials are submitted to the Division of Academic Affairs. The dean will discuss with the faculty member the strengths and weaknesses identified in the review process. If the dean disagrees with a positive department committee (or special committee) recommendation in two consecutive years, the promotion portfolio will be forwarded to the Vice President for Academic Affairs in the second year unless the faculty member requests otherwise according to the established timeline.

**Confidentiality of the review process**

During the period of consideration of a faculty member for promotion, all actions and recommendations of the various committees, the department chair, and the dean will be held in complete confidence, except as noted above.

**Notification of final decision**

Once the process of review has been completed at the institutional level, the dean will share the final decision with the candidate and the department chair.

**Timeline for promotion reviews**

Candidates, departmental committees, department chairs, the Arts & Sciences Personnel Advisory Committee, and the dean will submit materials as specified by the deadlines on the Division of Academic Affairs timeline.

**Instructor and Senior Instructor Ranks**

The ranks of instructor and senior instructor are appointed ranks for faculty who hold at least a Master’s degree and who are not eligible for appointment to a professorial rank. The movement from instructor to assistant professor, while appearing to be a promotion, is technically an appointment to a new position and does not require the same procedure as promotion to other ranks.

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