**Spring 2017: Overview – Promotion to Associate Professor**

**CUNY Code of Practice Regarding Instructional Staff Titles**
[http://www.cuny.edu/about/administration/offices/ohrm/policies-procedures/CodeofPracticeTitleDescriptionsandQualificationsFINAL_06112013.pdf]

1.2.3 Associate Professor

For promotion or appointment to the rank of associate professor, the candidate must possess the qualifications for an assistant professor, must have obtained the Ph.D. or an equivalent degree from an accredited university, and in addition he/she must possess a record of significant achievement in his/her field or profession, or as a college or university administrator. There shall be evidence that his/her alertness and intellectual energy are respected outside his/her own immediate academic community. There shall be evidence of his/her continued growth and of continued effectiveness in teaching. Longevity and seniority alone shall not be sufficient for promotion.

In the libraries, for promotion to or appointment as associate professor, the candidate must, in addition to the requirements set forth for assistant professors in the libraries, possess a record of significant achievement in his/her profession. There shall be evidence that his/her competence and achievements are recognized and respected outside his/her own immediate community.

**EXCERPTS FROM THE FACULTY PERSONNEL PROCESS GUIDELINES, Effective March 2017**

These passages are excerpted from the main document for your general guidance. Please consult the complete guidelines in preparing for your action(s).

I. The Candidate’s File and Form C

I.A.2. A candidate for tenure, certification or promotion must also provide a CV (not required of candidates for reappointment).

I.B.2. For candidates for reappointment or tenure, the Form C shall first list those contributions since the initial John Jay appointment. Candidates for reappointment or tenure and/or promotion to Associate Professor shall list works released before their tenure track employment at John Jay, but these must be listed separately in a section following works which were released while at John Jay. Candidates for promotion to full Professor shall clearly identify and first list materials released since attaining their current rank. Materials released prior to their last promotion (or appointment to current rank) shall be listed separately.

I.C. Outside Letters of Evaluation

I.C.1. General

I.C.1.a. A minimum of four and a maximum of six outside evaluations must be obtained for candidates for tenure and for promotion. The Provost will solicit these letters.
Spring 2017: Overview – Promotion to Associate Professor

I.C.1.b. Before April 15, the chair of the candidate’s department will contact the four to six potential evaluators to determine if they are willing to write a letter of evaluation. By April 15, the chair will forward the names of all who respond positively to Provost’s Office. The Provost’s Office will send the candidate's packet to each evaluator. The evaluators will be requested to provide their evaluation letters by July 1. When a candidate is coming up for two actions, e.g., tenure and promotion, the evaluators will be asked to comment on both actions in the same letter.

I.C.1.c. The purpose of the outside letters of evaluation is to establish the reputation of the candidate beyond the college community with regard to the relevant criteria by which the candidacy will be evaluated. The letters should speak to these academic qualities specifically, and it is therefore suggested that they be solicited from academic persons. Candidates should keep this purpose in mind when proposing persons to write the letters.

I.C.1.d. An evaluator who has direct knowledge of the candidate’s teaching, professional activities, etc., may also speak to that. In addition, the letters should specify the nature of the relationship of the evaluator to the candidate.

I.C.2. Selection of Outside Evaluators

I.C.2.a. The candidate and the candidate’s chair shall confer about the names of potential evaluators. If the candidate has an objection to any individual proposed as an evaluator by the chair, the candidate shall submit that objection in writing to the chair. The chair shall forward the names of four to six individuals, who have agreed to act as potential evaluators, to the Provost. If the chair decides to forward the name(s) of any individual(s) to whom the candidate objected in writing, the letter of objection shall be attached to the evaluator’s letter in the candidate’s file.

I.C.2.b. If the candidate is a department chair, then the Provost, in consultation with the department Personnel and Budget Committee (hereafter, P&B), will supply the list of names which would otherwise have been submitted by the chair.

I.C.2.c. Candidates and chairs should not propose members of the John Jay College faculty as potential evaluators. In addition, names of evaluators should not include relatives. Only in exceptional circumstances should co-authors of the candidate serve as outside evaluators. It is the responsibility of the candidate to explain such exceptional circumstances in the self-evaluation. The evaluation letters are not to be letters of personal recommendation, but assessments of the scholarly quality and quantity of the candidate’s work as it bears on the action for which the candidate is being considered. Candidates should know that letters of evaluation written by former professors of the candidate are usually given less weight than letters of evaluation from others.

I.C.2.d. Evaluators from within CUNY:

- Tenure: Some letters must be from evaluators who are outside the CUNY system, although it is permissible for some to be from within CUNY.
- Promotion to Associate Professor: It is strongly suggested that the majority of evaluators be from outside CUNY, as the burden is on the candidate to show that his or her qualities are “respected outside his/her immediate academic community.”
Spring 2017: Overview – Promotion to Associate Professor

- Promotion to Full Professor: The burden is on the candidate to demonstrate "an established reputation for excellence in teaching and scholarship in his/her discipline." Therefore it is suggested that no more than one letter be from within CUNY.

I.C.2.e. The candidate and the chair should be notified immediately if either the proposed evaluator declines to write an evaluation or the letter of evaluation has not reached the Provost by August 1. In either case, a substitute evaluator will be solicited by the Provost from the chair in consultation with the candidate.

I.C.2.f. Material sent for evaluation is material produced since the last personnel action, or in the prior seven years, whichever is longer. The selection of the material to be sent to the evaluators shall be made by the candidate subject to final approval by the Provost. The package shall include a list of the material sent. A copy of the list shall be in the candidate's file.

II. The Personnel Process

II.A.14. Promotion and/or early tenure candidates may withdraw at any point in the personnel process. When a candidate withdraws, votes taken up to that point remain part of the File.

III.B. Teaching

III.B.1. Reappointment, tenure, and promotion depend upon the candidate having achieved clearly discernible effectiveness as a teacher. The two external criteria most frequently used in evaluating teaching effectiveness are student evaluations (written comments as well as numerical evaluations) and departmental peer observations. In addition, the candidate may present evidence of professional recognition for teaching in the form of awards and other professional honors. The candidate is also expected to demonstrate teaching effectiveness in the form C by providing evidence of achievement across a range of teaching-related activities.

III.B.2. Evidence that may be presented in making the case for the candidate’s effectiveness as a teacher includes but is not limited to those activities listed below.

Evidence of Originality and Creativity in Teaching Practice:

- Development of new and well-received courses and innovative pedagogy (relevant syllabi should be included in the file);
- Development of effective techniques for teaching and academic support;
- Use of outcomes assessment strategies to measure student learning and enhance teaching;
- Effective use and incorporation of technology when appropriate.

Evidence of Mentoring:

- Sponsoring of students for awards, scholarships, student competitions; inclusion of students’ writings in John Jay’s Finest and other publications;
- Mentoring McNair or other undergraduate research scholars;
- Supervising senior theses, advising CUNY BA students, and directing independent studies;
- Seeking grants to promote research opportunities for students and to address students’ academic needs (grant application/narrative must be in the file);
- Advising students (beyond major advisors who get released time for this activity);
Spring 2017: Overview – Promotion to Associate Professor

- Mentoring and supervision of adjuncts and Graduate Teaching Fellows;
- Mentoring undergraduate and graduate students (including both master’s and doctoral students) in scholarly and professional activities.

Evidence of Professional Development:
- Organizing and/or attending and participating in faculty development programs;
- Participating in the programs offered by the Center for the Advancement of Teaching and integrating the best practices learned into the courses taught; and
- Participation in and presentation at conferences on teaching and learning

Evidence of Teaching Breadth:
- Variety of courses taught;
- Engagement of students at differing levels of ability and preparation;
- Variety of teaching formats (e.g. hybrid, large lecture sections, small capstone seminar)

III.B.3. For faculty members in the Library Department, “teaching” is to be interpreted as “librarianship” to reflect the overall goals of the library including developing, organizing, preserving, maintaining, making accessible, and interpreting informational resources for teaching, learning, and research. This section addresses information literacy, collection development, reference and instruction, user services, information technology and application, library administration and management, special collections, and print and digital archives.

III.B.4. Department chairs are encouraged to incorporate discussion of the above factors when applicable into annual evaluations that can then be included in the candidate’s personnel file. Candidates are urged to discuss their teaching philosophy and effectiveness in the Form C self-evaluation narrative.

III.B.5. Factors which might negatively affect a personnel action and suggest that a candidate needs to pay more attention to his/her teaching are:
- below average student numerical evaluations for the discipline and course involved, or consistently negative written comments;
- peer observations indicating less than effective competence/interest in teaching;
- inattention to persistent problems in teaching;
- lack of co-operation in meeting departmental scheduling needs;
- being unavailable to students during posted office hours;
- a record of coming late to class, leaving early, giving finals early etc. as this is registered in writing to the chair, dean, or Provost; and
- late submission of grades or inattention to incomplete grades.

III.C.3. Standards for Scholarship: Promotion to or Appointment as Associate Professor

As stated in the CUNY Code of Practice Regarding Instructional Staff Titles an Associate Professor must "possess a record of significant achievement in his/her field or profession, or as a college or university administrator. There shall be evidence that his/her alertness and intellectual energy are respected outside his/her own immediate academic community.”

The expectations of candidates for promotion to or tenure as an Associate Professor are, of course, not as rigorous as those for subsequent promotion to full Professor. Candidates for
Promotion to Associate Professor can demonstrate significant scholarly achievement and outside recognition through such publications as a scholarly book, articles in peer reviewed journals based on original research, and other scholarly and/or professionally recognized publications and activities during the time the candidate has been an assistant professor.

Generally the best way for candidates for promotion to or tenure as an Associate Professor to demonstrate significant scholarly achievement is through publication of peer reviewed articles. As an alternative, a scholarly book published by a reputable academic publisher may by itself establish the necessary record of “significant achievement.” In the absence of either a scholarly book or peer reviewed articles, other scholarly publications or creative works, or other significant academic contributions from among those listed below for full Professor may serve to demonstrate a record of scholarly achievement to be considered for promotion to Associate Professor. The burden is on the candidate to demonstrate the significance of her/his contributions in the Form C self-evaluation section. Reputation in the field will be documented in part by the letters of external evaluation.

III.D. Glossary for Reporting Status of Publications and Works in Progress

The candidate is responsible for describing the status of publications and work in progress as explained in Section III.c.1.b. The following categories will be useful in characterizing the various stages of a work.

- **Published**: Indicate venue/press, date, page numbers
- **In Press**: Currently being physically or digitally produced for publication
- **Forthcoming**: This category is reserved for work that does not require any content revision by the author and does not require any further evaluation. It describes a state before the work is in press and includes fully accepted, fully complete works right before they go to press and works for which the author is reviewing proofs or preparing an index.
- **Revise and Resubmit**: The work has been evaluated and not yet accepted; the author has been asked to revise it and resubmit it to the journal or publisher that recommended revisions. The author should indicate whether he/she is in the process of revising or has already revised and resubmitted. This category excludes work that has been rejected, which the author is now revising with a view to submitting elsewhere. Work being revised for resubmission elsewhere should be indicated as “in progress.”
- **Submitted**: The manuscript has been sent to a journal/publisher; the author is awaiting response.
- **Under Contract**: The author has a signed contract from a press with a manuscript delivery date.
- **Proposed**: A book project in very early stage, manuscript not yet drafted, but publisher is evaluating the proposal.
- **In Progress**: The project is underway, but has not yet been submitted to or evaluated by a journal or press.

III.E. Service

Department, college, and university service is recognized as important in considering a candidate for promotion to either Associate or full Professor, as well as in reappointment and the granting of tenure. The expectation for service increases as one moves up the ranks. While
candidates for tenure are expected to demonstrate a commitment to service, candidates for Associate Professor should have an established record of service to the college community and/or university. Candidates for full Professor should have established records of continuing and increasingly significant service to the college and to the outside community.

**IV.B.2.** Consideration and vote on promotion to a higher professorial rank may take place in any year. A candidate must express the intent to be a candidate for promotion in a written communication to the Provost's Office, by the date specified in the timetable that appears in Section IV.B.4 of this document. A promotion personnel action may take place before a candidate is tenured, during the same year as a candidate is being considered for reappointment with tenure, or in any year subsequent to a candidate having been awarded tenure. A candidate for promotion may withdraw her or his candidacy for promotion at any time during the promotion process so long as this written request is received by the Office of the Provost prior to the vote by the FPC.

**IV.B.3.** For full-time faculty members in professorial titles and for full-time lecturers and instructors, reappointment, early tenure, tenure, appointment with a Certificate of Continuous Employment, and promotion are considered by a series of committees. Since the committees – beginning with department P&B – meet in early September, candidates should begin organizing and augmenting their personnel files during the previous spring. Promotion, reappointment, and tenure candidates are required to complete all updates to their personnel file in the Provost's Office by the second week of September. The procedures for obtaining outside letters of evaluation for inclusion in the personnel file have a separate timetable (see Section I.C of this document).