

GUIDELINES, POLICIES AND PROCEDURES FOR PROMOTION AND TENURE OF FACULTY

I. Exceptions to Guidelines

Exceptions to these guidelines will be made only in extraordinary circumstances. Any exceptions require the written approval of the Associate Provost for Faculty and Administration (referred to hereinafter as the Associate Provost) and the Chairperson of the College-Wide Committee on Promotion and Tenure. Requests for such exceptions should be addressed to the Associate Provost in writing.

II. Guidelines for Implementation of the College-wide Policy on External Evaluations (Professorial Titles Only)

A. Candidates with Non-Traditional Research and Scholarship

For candidates whose research and scholarship are non-traditional, it is essential to follow the special protocol established at the CAP meeting of October 4, 2001, from initial appointment through all subsequent personnel actions. The protocol is outlined in Article X below.

The following general guidelines, and the relevant specific guidelines given in Sections II.C and II.D, apply to all other candidates in professorial titles.

B. General Guidelines

Every department must solicit outside evaluations of all faculty in professorial titles as part of the deliberations of its Appointments Committee and/or the relevant Promotion Committee for all promotion and tenure actions. The purpose of this external review is to provide independent feedback on a faculty member's research, scholarship and creative work. External evaluations are therefore not sought for lecturers or college laboratory technicians (CLTs).

Four evaluators will be chosen according to the following uniform procedure:

- i. Two evaluators will be chosen from a list of five names submitted to the department Chairperson by the candidate; and
- ii. Two evaluators will be chosen from a list of five names drawn up by the department Chairperson in consultation with the Appointments Committee.

The candidate should consult with the department Chairperson when compiling their list. These lists are to be submitted to the Associate Provost by the date specified in the promotion and tenure calendar. Any additions or modifications are to be reported in writing to the Associate Provost. The Chairperson of the department will make the final choice of four evaluators from these lists and will solicit the evaluations by sending out a letter to each evaluator, enclosing the materials listed in the instructions for the action in question, as well as a self-addressed envelope for the evaluator's convenience. The Chairperson is strongly encouraged to contact each potential evaluator to determine willingness to perform the evaluation before sending out the materials. In all

communications with external evaluators, the Chairperson should take care to say nothing that might prejudice evaluators either in favor of or in opposition to the candidate. Chairpersons should be diligent in soliciting evaluations and should keep a log of actions taken in sending out and following up on these letters.

To promote honest and critical evaluations, the identities of the external evaluators selected are never to be disclosed to the candidate.

Brooklyn College faculty members are engaged in a broad range of scholarly and creative activity, and the choice of external evaluators should recognize this diversity.

- i. For faculty members under review for *scholarly work*: the external evaluators should be tenured; an evaluator for a promotion candidate should hold at least the rank sought by the candidate; an evaluator for a tenure candidate should be at the rank of Associate Professor or above, and may not have a rank lower than that of the candidate.
- ii. For faculty members under review for *creative activity* (e.g., creative writing, visual, media and performing arts): the external reviewers may be recognized academics in the field or practicing professionals. Non-academic professionals should be well-established in the field, and have appropriate expertise.

When a candidate's file contains fewer than four letters, and new letters can be solicited and received in advance of the departmental vote, such letters should be sought, to bring the number of letters in the file up to four. If it is too late to obtain the full complement of letters, the chairperson should place an explanatory statement, to be composed in consultation with the Associate Provost and Labor Designee, in the candidate's administrative file; this letter should, where applicable, include a statement that the presence of fewer than four letters should, in and of itself, have no adverse effect on the consideration of the case.

External evaluators should not be mentors, former advisors or advisees, co-authors, research collaborators, project advisors or a close personal connection. A maximum of one external evaluator may be from within the CUNY system. Brooklyn College faculty (including retired faculty) may not serve as evaluators.

The department chairperson should communicate these exclusions to the candidate, and to every potential evaluator explicitly, and take all reasonable steps to ensure that no evaluator falls into an excluded category. If a member of any personnel committee reviewing a candidate's file believes that an evaluation was written by an ineligible evaluator, the chairperson of that committee should promptly report this concern, in writing, to the Associate Provost, who will refer the matter to the committee described in Section I above. Any letter found by that committee to be in violation of this section will be removed from the candidate's file.

C. Additional Guidelines: Tenure

- i. Letters from external evaluators should be sought following the uniform procedure outlined in section II.B.
- ii. Faculty who have been promoted to Associate Professor one year prior to the mandated year for tenure may ask the department Chairperson to submit for tenure consideration any one of the following:
 1. the letters from external evaluators solicited for the successful promotion action; *or*

2. in the event the candidate's record has significantly changed, updated letters from the same external evaluators who wrote for the promotion action reflecting new material since the last letter was written; *or*
3. a new set of letters from new evaluators chosen according to the established protocol.

D. Additional Guidelines: Promotion

- i. Letters from external evaluators should be sought following the uniform procedure outlined in section II.B.
- ii. Faculty who have been granted tenure one year prior to the application for promotion to Associate Professor may ask the department Chairperson to submit for promotion consideration any one of the following:
 1. the letters from external evaluators solicited for the successful tenure action; *or*
 2. in the event the candidate's record has significantly changed, updated letters from the same external evaluators who wrote for the tenure action reflecting new material since the last letter was written; *or*
 3. a new set of letters from new evaluators chosen according to the established protocol.

Evaluations may be solicited from people who have already evaluated the candidate for the same personnel action in a prior year. If such an evaluation has been made within the last two years, the solicitation letter should acknowledge this and request an update if appropriate.

- iii. When a department Chairperson is a candidate for promotion, the Chairperson's responsibilities in their case shall be discharged by a representative designated by the Associate Provost from the departmental Appointments Committee. That representative will attend the College-Wide Promotion and Tenure Committee meeting only for the discussion of the candidate they are representing, and will not have a vote at that meeting.

III. Solicitation of External Evaluations

A. General Guidelines

Model letters for the solicitation of external evaluations are provided below in sections III.D and III.E. To ensure equality of treatment for candidates across the college, it is strongly recommended that the actual letters of solicitation should follow the pattern of the model letters as closely as possible.

Deadlines and instructions for the preparation and submission of materials by candidates and the solicitation of evaluations by department Chairpersons can be found in the applicable promotion and tenure calendar. Except in the most unusual circumstances, the candidates themselves are responsible for providing a packet of all relevant materials for each outside evaluator. Considering that the contents of the packet may be expensive, the candidate may ask the Chairperson to include in the solicitation letter a request that the materials be returned. A postage paid return envelope may be provided.

Candidates for *tenure* are to submit all scholarly publications and/or creative work completed since their initial appointment to a tenure-track position at Brooklyn College.

Candidates for *promotion* should submit all scholarly publications and/or creative work completed in their current rank at Brooklyn College or any other institution. Therefore, scholarly publications and/or creative work in rank at any institution weigh in the decision on the action. However, it is critical that candidates demonstrate productivity at Brooklyn College and external evaluators should give primary consideration to this work.

B. Special Guidelines for Candidates Applying for Early Tenure

Application for tenure before the mandated year requires the prior permission of the candidate's School Dean, the Associate Provost, and the Provost. A formal procedure for requesting such consideration was established in March 2012 (see Appendix 3).

If permission for early tenure consideration is granted, the Provost may also authorize the candidate to submit additional records of their achievements representing not more than four (4) years prior to the appointment at Brooklyn College in order to equal the regular pre-tenure probationary period. Nevertheless, external evaluators and members of Promotion Committees should give the preponderance of consideration to work completed while at Brooklyn College.

C. Repeat Solicitation of External Evaluation

When an evaluation has been solicited for the candidate from a specific evaluator for a given personnel action within the last two years and is now being solicited again, the evaluator should be given the option of updating their earlier evaluation or letting it stand. A copy of the earlier evaluation should be sent to the evaluator and a special paragraph added to the solicitation letter.

D. Sample Generic Letter to Outside Evaluators – Tenure and/or Promotion to Associate

Dear [Evaluator's Name]:

Professor [Candidate's Name] is currently a candidate for [promotion or tenure] at Brooklyn College. In addition to teaching effectiveness and service to the college and the community, the quality of one's scholarly work is an important criterion in [promotion or tenure] decisions.

I am writing to you to request an evaluation of the candidate's scholarly work, as evidenced by the enclosed material. Your evaluation would be most useful to the committee if it were confined to the enclosed material and any other scholarly work by the candidate with which you may be familiar. It would also be helpful if you could indicate in your response your relationship to the candidate and the nature of your professional interaction with [him or her]. I am also enclosing a copy of Professor [Candidate's Name]'s curriculum vitae.

When reviewing the candidate's materials, please keep in mind that the mission of Brooklyn College is both to foster quality research as well as provide a superior education in the liberal arts and sciences. Toward this end, our faculty is deeply committed to providing an outstanding undergraduate education. There is strong emphasis on teaching as well as scholarship.

I would appreciate your returning your evaluation in the enclosed postage-paid envelope. In order to be included in our deliberations the evaluation should reach me by [date]. [If applicable] Please return the written work under separate cover in the postage-paid padded envelope provided.

If you are unable to provide an evaluation, would you please let me know promptly so that the committee will have time to seek another evaluator?

Let me assure you that all replies will be kept in the strictest confidence and made available only to the committees directly involved in the decision-making process.

Thank you for your cooperation.

Sincerely,

[Your Name]
Chairperson
Department of [xxxxx]

E. Sample Generic Letter to Outside Evaluators – Promotion to Full

Dear [Evaluator's Name]:

Professor [Candidate's Name] is currently a candidate for promotion to Full Professor at Brooklyn College. In addition to teaching effectiveness and service to the college and the community, the quality of one's scholarly work is an important criterion in [promotion or tenure] decisions.

I am writing to you to request an evaluation of the candidate's scholarly work, as evidenced by the enclosed material. Your evaluation would be most useful to the committee if it were confined to the enclosed material and any other scholarly work by the candidate with which you may be familiar. It would also be helpful if you could indicate in your response your relationship to the candidate and the nature of your professional interaction with [him or her]. I am also enclosing a copy of Professor [Candidate's Name]'s curriculum vitae.

When reviewing the candidate's materials, please keep in mind that the mission of Brooklyn College is both to foster quality research as well as provide a superior education in the liberal arts and sciences. Toward this end, our faculty is deeply committed to providing an outstanding undergraduate education. There is strong emphasis on teaching as well as scholarship, with a contractually mandated teaching load of 21 contact hours per year.

I would appreciate your returning your evaluation in the enclosed postage-paid envelope. In order to be included in our deliberations the evaluation should reach me by [date]. [If applicable] Please return the written work under separate cover in the postage-paid padded envelope provided.

If you are unable to provide an evaluation, would you please let me know promptly so that the committee will have time to seek another evaluator?

Let me assure you that all replies will be kept in the strictest confidence and made available only to the committees directly involved in the decision-making process.

Thank you for your cooperation.

Sincerely,

[Your Name]
Chairperson
Department of [xxxxx]

IV. Personnel Files

Candidates' personnel files should be carefully maintained. Department Chairpersons should meet with all untenured faculty members in their departments well before each annual reappointment vote to make sure that the files are complete and up-to-date. This should be done well in advance of the vote of the

departmental Appointments Committee, so that members of that Committee have time to review the files. Similarly, when a faculty member is up for tenure or promotion, the candidate and Chairperson should meet to update the file well in advance of the votes of the Appointments Committee and/or the relevant Promotion Committee.

The personnel files for all Assistant and Associate Professors, all Lecturers, and all CLTs, should be reviewed and updated at the time of the annual evaluation conference. Note that candidates must initial and date any document placed in their personal personnel file.

Departmental review of personnel files should always take place in the office where the files are stored. Those files may leave that office only to be transported to the Associate Provost's office. Personnel files should be organized in accordance with the "Personnel File Checklist" distributed by the Associate Provost's Office (see Appendix 2). Great care should be taken to safeguard against any materials from the administrative personnel file, including letters of external evaluation, being made available to the candidate.

V. Procedures for School Promotion and Tenure Committees

A. Charging the School Promotion and Tenure Committees

The Associate Provost, in conjunction with the Chairperson of the College-Wide Committee on Promotion and Tenure (College P&T), shall charge the School Promotion and Tenure Committees (School P&T Committees) on matters of procedure. The charge shall include, but not be limited to, the following:

- i. Statement of the criteria for tenure and promotion, as set forth in relevant governance and policy documents.
- ii. Importance of attendance: only under exceptional circumstances should the Committee meet at less than full strength.
- iii. Members of the School P&T Committees must read the complete personnel files of all the candidates in their respective schools.
- iv. The School P&T Committees shall not rank the individual candidates.
- v. The School P&T Committee's vote on the candidates shall be recorded and forwarded, following a template, provided by the Office of the Associate Provost, to the staff liaison for the College P&T, who shall send copies to the Associate Provost and the Chairperson of the College P&T.

B. School P&T Committee Chairperson

Each School P&T Committee shall elect a Chairperson for the Committee. The Chairpersons of the School P&T Committee should be prepared to report orally on individual candidates to the College P&T.

C. Other Rules

An Assistant Professor, Associate Professor, or CLT who has not received a favorable vote of the Departmental Promotions Committee shall be so notified by the department Chairperson and informed of their right to request further consideration. If the candidate wishes to be considered for

promotion, they must write a letter to the President with a copy to the Associate Provost requesting consideration. If the President (or the Associate Provost acting as the President's designee) consents, the candidate's dossier will be sent forward for further evaluation.

VI. Candidacy of Committee Members or Department Chairpersons

- A. No member of a Brooklyn College personnel Committee shall be eligible to vote on their own candidacy and, for purposes of such candidacy, the whole number of voting members shall exclude the candidate.
- B. The following are special guidelines for situations in which a department Chairperson is a candidate for promotion,
 - i. If it is determined that Chairperson's Reports will be written for that department's candidates in a given promotion and tenure round (see Article VII below), a member of the departmental Appointments Committee shall be designated by the Associate Provost to write the Chairperson's Report.
 - ii. The Chairperson shall not participate in the discussions or voting on their own promotion, but shall participate in other deliberations and vote on all other candidates.

VII. Chairperson's Report

The Chairperson's Report shall be optional. A Chairperson who chooses to write a Chairperson's Report must do so for every departmental candidate in that year's promotion and tenure round.

Chairperson's Reports will be shared with and initialed by the candidate and placed in the personal personnel file. The Chairperson's Report will consist only of matters discussed in the candidate's teaching observations, post-observation conferences and annual evaluations, including the candidate's written response to same.

VIII. Role of the Academic Deans in P&T

The Dean of each school will review the files of all candidates in their school and discuss each candidate's written record with the appropriate School P&T Committee. The President may also call upon the Deans to provide counsel during their deliberations.

IX. Student Evaluations

Student evaluations of a candidate's teaching are important and should be considered in all personnel actions.

X. Protocol for Evaluating Research in Secondary Areas of Expertise (Non-Traditional Research and Creative Activity)

With the growth of interdisciplinary research and with the emergence of exciting new fields, not all research/scholarship/creative activity will fit conveniently into traditional 'disciplinary' expectations or understandings. The activities considered to be within the criteria for tenure and promotion shall be flexible and expansive.

During the tenure and promotion process, the assessment of teaching, research/scholarship/creative activities and service shall give appropriate recognition, consistent with the institution's mission, to faculty accomplishments that are collaborative, cross-disciplinary and beyond the traditional boundaries of research/scholarship/creative activity associated with a particular candidate.

Chairpersons should discourage pre-tenure candidates from engaging in research, scholarship and creative activity beyond or not associated with her/his acknowledged area of expertise.

A. Formal Documentation of Evaluation Procedures

Upon the initial appointment, the department Chairperson and the candidate should discuss the modes of research and scholarship the candidate is likely to pursue in the foreseeable future. Together they should examine the disciplinary requirements for demonstrating excellence in the field, and the candidate should draft a statement which reflects their understanding of the procedures to be used in evaluating the scholarship and research s/he offers for reappointment, tenure, and promotion. When authorized by the Chairperson and the departmental Appointments Committee, this statement becomes a part of the candidate's personnel file. As candidates grow, they may change direction or develop interests in non-traditional forms of scholarship; the discussion described in this paragraph should occur at any time when the Chairperson becomes aware that some scholarship is designed for non-traditional venues or evaluation procedures need to be modified.

B. Portfolio of Activities

Candidates whose scholarship follows a traditional model have their work independently reviewed by peers through the standard referee procedures. In order to establish a suitable framework for evaluation, faculty who follow a non-traditional path should keep a careful record of activities, events, presentations, exhibits, performances or the like, and any independent reviews that evaluate their work. The candidate should consult with the Chairperson in maintaining the portfolio that documents this work and its reception, and which is part of the official record.

C. Peer Reviewers for Non-Traditional Work

The peer reviewers selected at any stage must be sufficiently aware of the demands of academic protocol to note within their responses at least the following:

- i. their personal and professional relationship, if any, with the candidate;
- ii. their professional evaluation of the criteria established by the candidate for measuring the achievement of the work under scrutiny;
- iii. their professional evaluation of the work itself, both according to the criteria the candidate proposes and according to criteria they consider accepted within the discipline;

- iv. whatever additional information they think helpful to a body of non-specialists required to make informed judgments about the work and the candidate;
 - v. finally, reviewers can also be encouraged to include their own CVs as part of the assessment they provide.
- D. In the annual evaluation conference report, the Chairperson should note the occasion(s) on which peer reviewers or other external evaluators provided written critiques of the scholarly product of the candidate.
- E. When reappointment, tenure, or promotion actions begin, the candidate should provide a written description of the nature of their research agenda, the method of its evaluation, and the ways in which the research furthers the discipline. The burden of proof for justifying the research and the chosen evaluation path clearly rests with the candidate, who must explain the disciplinary and scholarly distinctions that result from the praxis documented in the portfolio. In the Chairperson's Report, the department Chairperson should discuss the degree to which the accumulated reviews and evaluations accurately reflect the achievement of the candidate.

Candidates pursuing non-traditional research and creative activity should be judged with the same rigor applied to candidates whose work is more traditional.

Appendices

Appendix 1: Supplementary College Form for Promotion and Tenure

Appendix 2: Personnel Folder Checklists

Appendix 3: Procedure for Requesting Early Tenure Review Consideration

Appendix 1
Supplementary College Form for Promotion and Tenure



Date: _____

Supplementary College Form

Personal Data

Name: _____ Department: _____

Candidate for (Check all that apply) Tenure Promotion

I. Professional References

Please provide the contact information for five professionals outside of Brooklyn College who are qualified to evaluate your scholarly and/or creative activities. See instructions for more details.

Reference A

Name: _____

Relationship to Candidate: _____ Area of Expertise: _____

Present Address (include zip code, mailstops, etc.):

E-mail Address _____

Telephone: _____

Reference B

Name: _____

Relationship to Candidate: _____ Area of Expertise: _____

Present Address (include zip code, mailstops, etc.):

E-mail Address _____

Telephone: _____

Reference C

Name: _____

Relationship to Candidate: _____ Area of Expertise: _____

Present Address (include zip code, mailstops, etc.):

E-mail Address _____

Telephone: _____

Reference D

Name: _____

Relationship to Candidate: _____ Area of Expertise: _____

Present Address (include zip code, mailstops, etc.):

E-mail Address _____

Telephone: _____

Reference E

Name: _____

Relationship to Candidate: _____ Area of Expertise: _____

Present Address (include zip code, mailstops, etc.):

E-mail Address _____

Telephone: _____

II. Description of your Field(s) of Research

Provide a brief description of your field(s) of research and scholarship, the specialty within each field and the sub-specialty. See instructions for examples.

A. Field

B. Specialty

C. Sub-Specialty

III. Description of Professional Activities

Signature: _____ Date: _____

Print Name: _____

Appendix 2
Personnel Folder Checklists

Administration File Inventory Checklist

Candidate's Name: _____

I. Current Data **Complete?**

- | | |
|--|--------------------------|
| Chairperson's List of Outside Evaluators*♪ | <input type="checkbox"/> |
| Supplemental College Form* ♪ | <input type="checkbox"/> |
| Chairperson's Letters to External Evaluators*♪ | <input type="checkbox"/> |
| Current Curriculum Vitae | <input type="checkbox"/> |
| External Evaluators' Letters*♪ | <input type="checkbox"/> |

II. Initial Appointment Documentation

- | | |
|---|--------------------------|
| Application Form/Curriculum Vitae | <input type="checkbox"/> |
| Appointment Letters/Forms | |
| Department | <input type="checkbox"/> |
| College P&B | <input type="checkbox"/> |
| President/Provost | <input type="checkbox"/> |
| Letters of Reference | <input type="checkbox"/> |
| Educational Background | <input type="checkbox"/> |
| Basic Personnel and Address Information | <input type="checkbox"/> |
| Letter of Acceptance | <input type="checkbox"/> |

Chairperson's Signature: _____ Date: _____

Print Name: _____

* Not required for annual reappointments (without tenure)

♪ Not required for lecturers

NOTE: Verification documents (1-9 Form, degree(s), certificates and copy of the social security card) are no longer required to be in the administration file when it is delivered to the Reading Room.

Personal File Inventory Checklist

Candidate's Name: _____

	Complete?	Initialed by Candidate?
I. Evaluative Information		
Chairperson's Report (optional)*	<input type="checkbox"/>	<input type="checkbox"/>
Observation and Post-Observation Conference Reports (Each Term)	<input type="checkbox"/>	<input type="checkbox"/>
Annual Conference Reports	<input type="checkbox"/>	<input type="checkbox"/>
Student Evaluation of the Faculty Reports	<input type="checkbox"/>	<input type="checkbox"/>
Department and Dean's Third-Year Review Reports ♪	<input type="checkbox"/>	<input type="checkbox"/>
II. Correspondence and Other Information		
Brooklyn College Correspondence	<input type="checkbox"/>	<input type="checkbox"/>
Letters of Commendation	<input type="checkbox"/>	<input type="checkbox"/>
III. Work Information		
Multiple Position Forms	<input type="checkbox"/>	<input type="checkbox"/>
Work Schedules	<input type="checkbox"/>	<input type="checkbox"/>
IV. Academic / Professional Information		
Curriculum Vitae	<input type="checkbox"/>	<input type="checkbox"/>
Candidate's Personal Statement*	<input type="checkbox"/>	<input type="checkbox"/>
Publications	<input type="checkbox"/>	<input type="checkbox"/>
Letters from Publishers	<input type="checkbox"/>	<input type="checkbox"/>
Grants	<input type="checkbox"/>	<input type="checkbox"/>
Awards and Honors	<input type="checkbox"/>	<input type="checkbox"/>
Teaching Portfolio (optional)	<input type="checkbox"/>	<input type="checkbox"/>
Other Academic/Professional Information	<input type="checkbox"/>	<input type="checkbox"/>

Chairperson's Signature: _____ Date: _____

Print Name: _____

Candidate's Signature: _____ Date: _____

* Promotion and Tenure/CCE Only
 ♪ Not required for Lecturers.

Appendix 3

Procedure for Requesting Early Tenure Review Consideration

Procedure for Requesting Early Tenure Review Consideration

According to the *CUNY Manual of General Policy* (Article V. Faculty and Staff, Policy 5.1. Academic Personnel Practice, Section 6. Tenure) early tenure, that is prior to the seventh annual reappointment, may be granted only in exceptional cases – including cases when:

- a) Appointment to the faculty at the University requires the continuation of tenure previously awarded by another institution of higher learning
- b) A prestigious fellowship valuable to the college concerned interrupts continuous service during the probationary period
- c) Some extraordinary reason indicates that the college would be well served by the early grant of tenure.

To assure that cases reviewed for early tenure are in compliance with the University's regulations, a candidate may not go forward with consideration for tenure earlier than the seventh annual reappointment unless:

1. The Department Appointments Committee approves such early consideration.
2. The Department Chairperson writes a letter (a) confirming the Appointments Committee approval and (b) requesting and justifying such early consideration in terms of one or more of the three conditions outlined above and delineated in the *CUNY Manual of General Policy*.
3. The letter and the faculty member's most recent CV are submitted to the Office of the Associate Provost for Faculty and Administration by mid-January, in advance of the start of the spring semester in which the tenure review process begins.
4. The Office of the Associate Provost for Faculty and Administration forwards copies of the letter and CV to the Provost.
5. The Provost approves such early tenure review and sends a letter to that effect to the Department Chairperson, copying the Associate Provost for Faculty and Administration.
6. The Department Chairperson's letter requesting early tenure consideration and the Provost's written approval are placed in the candidate's personal personnel file confirming his/her eligibility for early tenure review.

Should the Provost not approve the request for early tenure consideration, he/she sends a letter indicating that to the Department Chairperson. The Department Chairperson should then dispose of his/her letter and the Provost's letter. For the purpose of maintaining a record of these transactions, the Office of the Associate Provost for Faculty and Administration will keep a file on all requests for early tenure consideration, whether approved or denied.