

College P&B Guidelines

Adopted on May 8, 2007

*Revised on February 5, 2008**

These guidelines are intended to inform the members of the College P&B of their authority and responsibilities in the personnel evaluation process and to clarify some of the practices and procedures that guide these actions. These guidelines supplement but do not replace the appropriate policies and provisions of the By Laws of the City University of New York Board of Trustees related to personnel (in particular, the Statement of the Board of Higher Education on Academic Personnel Practice in the City University of New York), the collective bargaining agreement between the Professional Staff Congress/CUNY and the The City University of New York, or Baruch College governance documents.

I. CRITERIA FOR PERSONNEL ACTIONS

Members of the College P&B Committee are responsible for evaluating the performance of faculty according to three areas of activities: scholarship, teaching, and service, and for making recommendations to the President based on these evaluations. Such evaluations combine an assessment of the record to date and a projection into the future. The precise expectations vary across the college, but they all involve some measure of quality, quantity, and trajectory in the record. There is no single scale that can be used even within a unit, as the possible combinations of quality, quantity, and trajectory are innumerable. However, there are general principles that are applied as uniformly as possible across all cases by the College P&B Committee.

A. Scholarship

Our expectations regarding the independent scholarly record of our faculty are high. In general, quality is more important than quantity, although there must be sufficient quantity to provide evidence of a significant level of scholarly productivity. Several factors influence the assessment of the quality of a scholarly record.

- While the kinds of scholarship for faculty across the range of positions at the College will vary, the requirement that the significance of the scholarship be validated and publicly communicated will sustain a uniformly high standard. In some fields, refereed journals and monographs are the traditional media for communication and peer evaluation; in others, exhibitions and performances. In still other fields, emerging technologies are creating, and will continue to create, entirely new media and methods. In consideration for tenure and promotion, scholarship and creative activity are not merely to be enumerated but are to be carefully, objectively, and rigorously evaluated by professional peers.
- For promotion and tenure decisions, the impact or significance of scholarship is most often determined by the evaluations provided by external reviewers, though other reviews of the work are often available as well. At the junior level, quality is most often demonstrated by the quality of the journals or presses in which the

- individual publishes or the quality of the exhibit or performance venue. At more senior levels, quality is often measured by the impact of scholarship.
- Requests for external reviews for candidates being considered for tenure will ask the potential reviewers to consider the body of work under review in terms of the individual's bid for tenure and possible candidacy for promotion to Associate or Full Professor, depending on the circumstances, within two years.
 - Outside funding of research from prestigious foundations and institutes (in those disciplines where it is available) can be viewed as a significant part of the scholarly record, depending on the relative size of the grant and the significance of the questions posed.
 - The composition of the portfolio of published works also matters. In many fields a collection of good but unconnected articles may not produce the same sense of impact that a set of articles advancing a coherent line of scholarship would. In other fields, such as those with specialties in literature (both English and foreign), versatility in scholarship may be more highly valued. It is also not unprecedented for faculty to shift scholarly areas of focus, even at the junior level. The personal statement provided by the candidate is a very important guide to the significance of each scholarly piece and their connection to each other.
 - Another issue is the connection of published work to the dissertation. Highly regarded articles from the dissertation do count, but not as much as highly regarded articles reflecting scholarship beyond the dissertation. For those disciplines where a book is considered standard for tenure, a book based on the dissertation that shows significant extensions and revisions is regarded more highly than one that does not.
 - In the creative and performing arts, tenure portfolios will reflect the faculty member's creative work – including exhibitions, performances, and reviews thereof. As with all faculty members, the significance of the work and career trajectory are of paramount importance.
 - The scholarly record should provide clear evidence of independent thinking and research/performance. Thus, although many junior scholars continue to do some collaborative work with a former doctoral or post-doc advisor, it is important to establish a record of growing independence from former advisors. This is not to discourage a successful partnership with a former advisor that continues to yield high quality publications.
 - Invitations to talk at other universities and prestigious events add to the scholarly record but generally play a relatively minor role independent of other measures of the scholarly record.
 - We do encourage collaborative work; thus, coauthored articles and creative works are given important weight by the P&B Committee. It is, however, necessary to identify the contributions of the candidate to these articles and works. A significant portion of the overall research record should include articles and works to which the candidate has made the primary contributions.
 - Some faculty join the college with prior experience at other institutions. While there is an expectation of continued scholarly productivity at Baruch, the individual's entire body of work is considered by external reviewers and by the College P&B.

- Honors and awards represent recognition of stature in the field when they recognize active engagement in research or creative activities at regional, national or international levels.

Given that the decisions regarding tenure and promotion are very much about future expectations, the trajectory of scholarly productivity is carefully considered. The acceptance/publication of articles or the exhibition of work or performance just before tenure is carefully scrutinized in order to determine the extent to which it reflects a genuine timely outcome of a growing scholarly record as opposed to a belated effort to increase its quantity. Documentation is required to support scholarly activity. In the case of a scholarly book which is not yet in print, a signed letter from a publisher indicating that the book is in press would normally suffice. In the case of an article in a refereed journal, either an offprint of the article or an acceptance letter from the journal would be needed.

B. Teaching

A good teaching record is a necessary part of a successful tenure and promotion case. Tenure will not be granted at Baruch without evidence of good teaching. An exceptional teaching record can compensate for a more limited scholarly record, but it cannot substitute for an unacceptable scholarly record. Teaching is viewed broadly, including curriculum planning, course design, student reactions and success, and mentoring. Evidence of success in these areas will be judged using the following materials.

- Student evaluations. Candidates are expected to have course evaluations for all of the courses taught at the college. While there are no minimum acceptable scores, candidates are expected to have scores on most measures that are near or above the departmental averages, or show steady improvement toward those levels. Consideration may be given to the nature of the course (required versus elective, graduate versus undergraduate, number of students, etc.). As with research, the trajectory of evaluation marks is an important consideration.
- Workshops. Some faculty members in the Newman Library do not teach standard, credit-bearing courses, but teach workshops or give course-related lectures for other departments. Evidence regarding their performance should be assessed in a systematic way for consideration in the P&B process.
- Peer reviews. The PSC-CUNY labor contract requires that at least once during each academic semester, non-tenured faculty members be observed for a full classroom period. Though not required by the labor contract, peer reviews should also be conducted for Associate Professors for consideration in promotion decisions. These reviews are an important part of the candidate's record. Ideally the reviewer will be provided with a full portfolio of the course being reviewed, including a statement of course objectives and learning goals, before visiting a class. It is best if the file includes peer reviews from several different faculty colleagues. Constructive criticism is expected in most peer reviews.
- Mentoring record. A very important part of our teaching responsibilities takes place outside of any specific course. The advising of students, both undergraduate and graduate, is a significant contribution to the teaching mission of the College.

- Personal statement. The personal statement provides a great opportunity to explain the teaching record and the steps taken to improve the quality of teaching in response to feedback.

As with scholarship, there is a fundamental interest in the trajectory of teaching quality. Most faculty show marked improvement during their first years as they gain experience and feedback.

C: Service

Communities thrive when all members contribute to the common good. Thus we expect that candidates for tenure and promotion will have been involved in the life of their department, their school, the College, and their national associations. The College has also made engagement with the broader public one of our institutional goals. It is desirable to show evidence of contributions to or engagement with this broader community (in some cases this may be a part of the job expectations). Though this is usually less important to the evaluation than is the quality of service to the department, school and College, significant community service, such as participation as an officer of a substantial community organization, may be higher weighted in some disciplines.

Faculty typically view service at the College as serving on committees or leading a program or unit. While these are important, the College wishes to encourage and support faculty engagement with students that extends beyond the classroom. Candidates for tenure and/or promotion should provide evidence of such activities, to the extent possible.

Effective participation in disciplinary or interdisciplinary organizations' activities should be evaluated in the context of their involvement of state-of-the-art knowledge and impact on peers and others. For example, this participation might include serving as editor of journals or other learned publications, serving on an editorial board, chairing a program committee, or providing scholarly leadership as an officer of a major professional organization.

D. Role of the Department Chair

A critical part of the evaluation of faculty is the report from the department chair.¹ That report should thoroughly treat each of the areas of evaluation described above in an evaluative manner. In particular, the chair is in a unique position to be able to provide assessments of the quality of the journals and presses, the teaching evaluation trajectory, and the quality of the service provided.

E. Overall Expectation

The College seeks to appoint, tenure, and promote individuals who will be intellectually independent and capable of fulfilling leadership roles in their fields and in the College. It

¹ In the case of a school that functions as a department of the whole, the school is considered an academic unit equivalent to a department, and its elected coordinator for faculty advisement shall be considered the equivalent of a departmental chair as defined in CUNY Bylaws.

is important to stress, however, that individuals are ultimately responsible for their own professional success.

Those faculty whose initial full time appointment in the title of Professor, Associate Professor, or Assistant Professor was effective prior to September 1, 2006, have a five-year tenure probationary period. Those first appointed on or after September 1, 2006, are governed by a seven-year tenure probationary period². Regardless of the length of this probationary period, the same standards will be applied in making recommendations regarding tenure. Clearly the longer period will result in a record with more concrete evidence on which to make an assessment, but this does not lessen the importance of future projections based on the candidate's trajectory.³

II. PROCEDURES

A. Documentation.

To provide an objective and informed judgment, P&B committees require documented evidence, primarily in writing, but sometimes accompanied by materials related to the discipline, such as photographs, slides, or musical scores. There must be primary review materials and accurate evaluations. It is also essential that all materials were obtained and presented with strict regard for objectivity, credibility, and fairness, that no appropriate materials were omitted, and that no inappropriate materials are included.

The files required for personnel evaluation are made available through the Office of the Provost to members of the P&B Committee. These files are maintained in a secure location and during their residence in that location are available only for members of the Committee. The Personal Files are maintained in three-ring binders to help ensure that materials are not misplaced. This file is to contain the following items:

- Current c.v. in the approved format
- Personal Statement of the candidate
- All annual evaluations prepared by the department chair in accordance with the collective bargaining agreement
- Peer teaching observation reports
- Documents related to teaching, including student evaluations
- Documents related to research and scholarship: publications, galley proofs, manuscripts in presentation, correspondence with editors, etc.
- Reports on scholarship incentive awards, if any
- Materials related to grant and contract activity, where appropriate
- Workload reports
- Current department personnel policies, when available

² Those appointed on September 1, 2006, are given a one-time irrevocable option of choosing either the five-year or the seven-year probationary period.

³ Requests for external reviews will identify the length of the probationary period, the normal 21-hour teaching load, and the amount of contractual release time provided through the collective bargaining agreement.

The Administration File is a file available only to persons responsible for the review and recommendation of the employee. Note: **While the Administration File is often referred to as the “confidential file,” everything associated with the evaluation of personnel, whether in writing or as part of the deliberations of the committee, must be considered strictly confidential, and nothing in the record, nor any of the discussions of the committee, nor the votes and actions of the committee, may be revealed in any way outside of the committee except by persons authorized to contact the reviewee related to the review.**

The Administration File includes:

- External reviews of the reviewee’s work, which are required for all promotion and tenure decisions.
- The vita and recommendations concerning the reviewee submitted as part of the original application for employment.
- Confidential letters of recommendation concerning the employee’s suitability for continued employment, promotion, or tenure, including internal letters submitted regarding a candidacy for promotion to full professor.
- Department executive, promotion, and tenure committee minutes which refer to the reviewee.

**On February 5, 2008, the College P&B Committee voted to remove “departmental chair’s report” from the list of items to be included in the confidential Administration File, effective June 30, 2008.*

B. Review Process

Members of the College P&B are notified when files are available for review for the next Committee meeting. An attempt is made to obtain all materials in sufficient time for a lengthy review, but there are occasions which demand a short turn-around time, and committee members need to be available to review materials before the meeting on those occasions. It is the obligation of every member of the P&B committee to review the files prior to a meeting so that informed decisions based on the record will be made.

The rules regarding voting follow:

- Positive recommendations require a majority vote of all eligible members of each committee. Faculty members on leave, with the exception of retirement leave, are counted as eligible. An eligible committee member’s abstention or absence does not change the number of affirmative votes required and has the practical consequence of counting as a negative vote.
- Proxy or mail voting is not permitted. This underscores the importance of attendance at all meetings – the absence of a P&B Committee member results in a negative vote for the reviewee.
- Votes are by secret ballot

- Tie votes mean that the action fails to pass
- A candidate who is a member of a P&B Committee may not participate in or vote on his/her own candidacy. This reduces the number of eligible votes by one.

The P&B procedure begins with a recommendation by the departmental committee (with the exception of promotion to Professor, which starts at the school level)⁴. The P&B process thereafter differs for negative and positive recommendations, as described below.

1. Reviews with positive recommendations.

The review of candidates who are successful at the department level moves to the school committee, and if there is a positive recommendation at that level the record goes to the college-wide committee and then for action by the President as the final step at the College before the recommendation is submitted to the CUNY Board of Trustees. Minutes of committee proceedings should conform where practicable to Roberts Rules of Order, Revised. The votes, but not the discussions, are recorded in the minutes. **It is considered professional misconduct for a member of a P&B Committee to discuss, outside of the P&B meeting, the votes or anything about any discussion at a P&B meeting.**

After the President has considered the personnel recommendation of the College P&B Committee and made a decision, the School Dean notifies the candidate of that decision.

2. Reviews with unfavorable recommendations

If there is not a positive recommendation by committees at any level, the review does not go forward. In such cases the Dean⁵ notifies the candidate that the candidacy will not proceed. The President notifies candidates when positive recommendations of the College P&B are not accepted by the President.

If there is not a positive recommendation at the department level, the candidate has the option of appealing that decision. Such an appeal is heard by the School P&B.

For negative decisions at other levels there are two elected appeals committees: the School Academic Review Committee and the College Academic Review Committee. Both are advisory to the next higher level of decision making in matters relating to instructional staff appointments, reappointments, certificates of continuous employment, tenure, leaves, promotion, and the policies, recommendations and procedures pertaining thereto. The functions of these committees are to review referrals and appeals transmitted to them by the President. For each personnel action only one appeal shall be

⁴ As stated in the Baruch College Governance Charter: In the case of candidates seeking promotion to full professor, those of that rank in the Department shall be given timely written notice by the Chair of such candidacies and of the availability of the files for their review so that they may offer written advice on the candidates to the School Committee on Personnel and Budget. In the case of Schools which function as a Department of the Whole, timely written notice will be provided by the Dean.

⁵ If the unsuccessful candidate is a faculty member in the Independent Units, notification will be provided by the Provost.

permitted at any level of personnel review, with appeals permitted at a maximum of two levels. All appeals are to be addressed to the President. The Provost's Office coordinates the administration of all appeals.

The School Academic Review Committee hears appeals from decisions of the School Personnel and Budget Committees and from decisions of the Personnel and Budget Committee of the Independent Units, and forwards its positive recommendations to the College Personnel and Budget Committee for action. Where appeals are sustained, the chair of the forwarding committee will present the personnel action case to the College P&B. The College P&B Committee will consider such personnel actions in their entirety.

The College Academic Review Committee hears appeals from decisions of the College Personnel and Budget Committee, and forwards its recommendations to the President.