PAF’s, P&B’s and CPC’s

September 2021
I. Shared governance and the Personnel Process

II. Role of the chairpersons and deans

III. Meetings
   a. Confidentiality. Mentoring, Personal Appearances
   b. Voting and Decision letters

IV. CBA and MOU’s

V. “What we tell the faculty”

VI. Interfolio as the Portal
**Purely Faculty – faculty + administration – Purely administrative**

**P&B**
Chaired by Chair of dept. or division
4-5 faculty members

Same discipline

Chair of dept. or division
4-5 faculty members

Disciplines may vary

**CPC**
Chaired by Dean College/School
4 faculty members + Dean

Disciplines may vary

Chair of Dean
4 faculty members + Dean

**UPC**
Chaired by Provost
20 members
10 appointed administrators
10 elected faculty

Disciplines vary

Chair of Provost
20 members
10 appointed administrators
10 elected faculty

**BOT**
Chaired by Provost
___ members
ALL administrators

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**CBA 2.02(b)(i). FACULTY RESPONSIBILITY**
The faculty has primary responsibilities for...the area of faculty status which includes appointments, reappointments, decisions not to reappoint, promotions and tenure

**REAPPOINTMENT 8.03, PROMOTION 8.05, AND TENURE 9.05**
(Statutes 8.03 (b), (c), (d) )
Written information describing the qualifications of the candidate (the PAF), are transmitted to the Departmental P&B for discussion and advice. The Department P&B Committee shall make the initial decision... and shall forward the record of its deliberations (the PAF and minutes) to the appropriate College Personnel Committee... the record of the deliberations of the CPC shall be forwarded by the Dean to the Chairperson of the University Personnel Committee

**Statutes 6.26 (c), (d)**
The UPC shall submit recommendations...to the President for transmission to the BOT. Whose decision shall be final
April = Confidential letter reminder for the NEXT year
Role of Chairpersons in the PAF

Guide the Faculty member & department/division through this process

- Mentor or assign a mentor
- Classroom visits
- Facilitate meetings as the Chairperson of the P&B
- Present the faculty member to CPC and UPC
- Decision letters
4.02 Statutes Department Meetings to Facilitate Faculty Development in Teaching

In order to facilitate ongoing faculty development in teaching and promote shared knowledge and techniques in support of building and maintaining a culture of learning among faculty and students, each department will set aside one meeting per semester for faculty to discuss syllabi, teaching portfolios and classroom observations.

4.07 Statutes: The Department Chairperson

• is the academic leader of the Department
• a faculty member as well as the departmental liaison to the administration
• has a special obligation to build excellence in teaching and scholarship in the department

4.11 Statutes: The Chairperson shall:

• monitor and guide the professional development of the probationary faculty. Including conferral with each member... regarding the individual’s performance as a teacher and as a researcher....
• preside at the Department Personnel and Budget Committee meetings
5.06 Statutes: **College Personnel Committee Membership**
Each College Personnel Committee shall include as members the Dean or, where appropriate, the Director as a voting member and chairperson of the Committee, and four elected tenured Eligible Faculty members. To the extent practical, department representation shall be rotated on the College Personnel Committee.....

(c) A faculty member who serves as a member of the College Personnel Committee **may not** simultaneously serve as a member of the Department Personnel and Budget Committee or of the University Personnel Committee.

2.15 Statutes: **Academic Deans**
(d.) The Dean may recommend to Departmental Chairpersons candidates **for appointments** and reappointments to the faculty for promotion or for conferral of tenure....

(f.) With respect to each person considered for appointment, **reappointment, promotion or tenure**, the Dean shall report to the Provost any actions recommended by the School or College Personnel Committee . . .
Meeting Minutes
• Are not verbatim notes or a transcript
• Are a record of the TOPICS discussed and ACTIONS taken

Recordings of Meetings
• Minutes should not be recorded without the consent of EVERYONE in the meeting

Confidentiality of Meetings
• Structure your agenda (only the chairperson can/should structure the agenda)
  • General items upfront
  • Executive Session for items that should be treated as confidential
    “I now move us into Executive Session for item #3”
    - ex. personnel actions (hiring, reappointment, tenure and promotion)
    - ex. develop strategies around anti-racism

How can I mentor and maintain confidentiality?
Personal appearances

**Reappointment** – not statutorily required (years 1-5)

**Tenure:** Statutes 9.05 (b) – on appeal it is an OPTION
...the faculty member may appeal in writing the denial of tenure to the next level of review, ... [o]n an appeal, the faculty member is entitled to appear in person before the committee reviewing the application. A faculty member may choose a colleague to represent the faculty member’s case at any level at which the faculty member has the right of personal appeal.

**Promotion:** Statutes 8.05 (b) on appeal it is an OPTION
the faculty member may appeal, in writing, the denial for promotion to the next level of review, ...[o]n an appeal, the faculty member is entitled to appear in person before the committee reviewing the application. A faculty member may choose a colleague to represent the faculty member’s case at any level at which the faculty member has the right of personal appearance.

**ON THE PAF:**
For Tenure and/or Promotion Only:  Do you intend to avail yourself of the option of personal appearance? (Yes / No):

**BOTTOM LINE:**
ANYONE WITH THE OPTION NEEDS TO AVAIL THEMSELVES OF THE PERSONAL APPEARANCE AT ALL LEVELS
5. **Presentation of Case.** In all cases involving reappointment and in all other cases where the faculty applicant has not exercised the right to appear in person or by counsel, the Dean of the applicant’s school/college presents the case on behalf of the applicant and responds to all Committee questions regarding the application. However, in cases where the applicant has exercised the right to appear (i.e., promotion and/or tenure), the following procedure is utilized: a) the Dean makes a brief preliminary statement limited to announcing the nature of the action and the results at the lower levels; b) the applicant and any representative are then invited to make a formal presentation to the Committee which must in all respects comply with the no new evidence rule; c) following the formal presentation, the committee members are invited to direct questions to the applicant or the representative; d) when the questioning is concluded, the applicant and representative are requested to remain outside the hearing room to be available in the event additional questions arise during the Committee’s deliberations. They are excused after the Committee has voted. In all cases the Dean will have available for inspection by the members of the Committee copies of the publications and other support materials of the applicant.
Mentoring, Voting, and . . .

No surprises in the Tenure year please!
SAMPLE DECISION LETTERS FOR P and B’s

<table>
<thead>
<tr>
<th>Faculty member is on probation</th>
<th>Positive Decision: Reappointment Action</th>
<th>Negative decision: Reappointment Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant Professor years 1-3</td>
<td>Inside address: I am pleased to inform you that the Personnel and Budget Committee of the (Department/Division) of (College or School), at its meeting on (Date), voted to approve your personnel action for reappointment for the academic year 2014-2015. This recommendation will now be transmitted to the (School/College) committee for further consideration and action. Thank you for all you contribute to the University. Tally of votes 0:0:0 (if there were any negative votes you would not state the reason - but the chair should be able to provide guidance for the person for the next PAF)</td>
<td>Inside address: Please be advised that at the meeting of (Date) the (Department/Division) of (College or School) rejected your personnel action for reappointment by a vote of 0:0:0. Since you are a probationary faculty member the University Statute Section 9.05(c) accords no further review and your term at St. John’s University will expire on June 30, 2001. In the event that you elect to resign, you may be released without penalty. In the event that you elect to remain, you will be notified of this decision and wish you the best of luck in the future. cc: Dean, Provost, Personnel file</td>
</tr>
<tr>
<td>Associate Professor years 1-2</td>
<td></td>
<td>General rule for PROBATIONARY faculty members: include name of committee, date of meeting, vote tally, if negative decision includes the contract end date. Probationary faculty member get no further reviews and are reassigned.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>member is OFF probation</th>
<th>Positive Decision: Reappointment action</th>
<th>Negative decision: Reappointment Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inside address: Same as above EXCEPT if the vote was split and there were negative re-assign, i.e. 4-1-0, then you do not give the reason for the negative vote and the Chair person should be able to provide guidance for the next PAF.</td>
<td>Inside address: Please be advised that at the meeting of (Date) the (Department/Division) of (College or School) rejected your personnel action for reappointment by a vote of 0:0:0. List below are the re-assign for the denial: 0:0:0 Since you are off probation, your application will be moved to the next level of review, the College Personnel Committee. Please be aware that according to the University Statutes, Section 8.03 (f) (2) if your application is denied at two consecutive levels, your application will be terminated and re-appointment is denied. You are not required to take any further action at this time.</td>
<td></td>
</tr>
<tr>
<td>General rule for NON-PROBATIONARY faculty members: include name of committee, date of meeting, vote tally, if negative decision indicate that the PAF will receive a second review. The faculty member is given the re-assign for the negative vote.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Collective Bargaining Agreement

P.A.F. Personnel Action Form

CBA & Statutory Requirements are aligned with THE PAF’s Table of Contents
MEMORANDUM OF UNDERSTANDING

The Unions and the Administration have agreed to continue to suspend Section 3.04 (d) of the University Statutes for the 2021-2022 Academic Year in the following manner:

Suspend current University Statutes §3.04 (d) which states, "Proxy or mail voting shall not be permitted;" provided, however, that eligible faculty who are assigned to teach on a campus other than the campus where the election is being held may participate in the election by mail ballot sent to the Chairperson of the Department. (emphasis added)"

And continue the use of the voting procedures adopted during the spring 2020, fall 2020 and spring 2021 semesters which are:

• VOTING DURING VIRTUAL MEETINGS: GENERAL ITEMS
  E-mail is an acceptable form of voting for curriculum or other non-personnel related items. Each department may formulate its own processes. If there is internal disagreement on a policy that cannot be resolved, the Chair determines the process, subject to the approval of the Dean.

• VOTING DURING VIRTUAL MEETINGS: ELECTIONS/PERSONNEL ACTIONS
  Meetings must be virtual and synchronous and voting must take place in real time after appropriate discussion (ensuring technology does not become a hindrance to voting — instructions must be provided to all faculty members on the method that is being used). The Office of Institutional Research will work with a designee from the Dean’s office or with the Chairperson for Departments/Divisions meetings to create ballots that will ensure confidentiality.

This provision will be reviewed and renewed each academic year with the agreement of all parties.
MEMORANDUM OF UNDERSTANDING

With regard to the reappointment of probationary faculty members, the Unions and the Administration have agreed to suspend §8.02 (f) and §8.03 (e) during the 2020-2021 Academic Year. Namely,

§8.02 (f) “During the probationary period a faculty member may be notified of non-reappointment without specifications of cause”

§8.03 (3) “The decision by any committee to deny reappointment of a faculty member who is on probationary status in any rank shall terminate the procedure without further review.”

Instead, probationary faculty members applying for reappointment will follow the same process in the Statutes as non-probationary faculty members.

This provision will be reviewed and renewed each academic year with the agreement of all parties.
CHECK THE PAF with FAQ’S FIRST
Important to USE these KEYS for the

And to distinguish the CURRENT & PRIOR YEARS

CURRENT YEAR

• Approximately one year’s worth of information
  October 2019 - November 2020

• Reverse chronological order
  • November 2020
  • October 2020
  • March 2020
  • January 2020
  • December 2019

PRIOR YEARS

Since hire until - but not including - this past year
Use headings for clarity

2018-2019
THOSE ARE LAST YEAR’S CURRENT ITEMS whatever you had last year in current year – cut and paste here

2017-2018

2016-2017

Key: Roles
- R: Research Paper Presenter
- M: Moderator
- S: Speaker/Panelist
- O: Session Organizer
- P: Poster Session Presenter
- E: Executive Board Member
- D: Discussant or respondent
- A: Paper presented by colleague in your absence

Key: Identifiers
- Your Name: BOLD
- Colleague (ST): (ST) and italics
- Student US: Underline US
- Student (Grad Level): Underline GRAD
- Other: So indicate with ***

Key: Quality of Publication (more than one designation may be used if needed)
- IPR: Internationally Peer Reviewed
- NPR: Nationally Peer Reviewed
- RPR: Regionally Peer Reviewed
- LPR: Locally Peer Reviewed
- X: Not Peer Reviewed
- SP: Self Published
- Online publication (So state)
- PPR: Peer reviewed proceeding
- FPR: Full paper published in proceedings
- AP: Abstract/Description in proceedings
S = Certifications  T = support material

T. Index of Support Material
Attach an index of the support material you are providing to the end of this PAF. TWO paper copies must also be placed at the front of any boxes or folders containing written support material. Support material should be indexed in accordance with the lettering system of the Table of Contents.

OPTIONS:
All electronic, All paper, or Any combination of the two

Always need an index
Index should match the TABLE OF CONTENTS
Attach to the END OF THE PAF and if you have paper support material leave 2 copies in the front of the box.

(NO)

CHANGED DUE TO COVID
CONFIDENTIAL LETTERS & WEDNESDAY’S IN THE WINTER

Confidential Letters
• Dean must send letters and material
• Consultation with the P&B to secure names of referees to yield 3-6 letters
• You will not know who responded/ who couldn’t
• You will not see the letters
• The letters may not be discussed while you are making your personal appearance at any level of the process (while you are in the room)
• If you haven’t done this yet, go directly to your Dean to discuss

Wednesday’s in the winter months - Sometimes it snows – it is OK
• UPC meets every Wednesday end of Jan- April
• Tenure actions may begin late February or early March, FULL professor actions go last
• If you teach on Wednesdays we will try to avoid scheduling you during class time
• If you will be away any Wednesdays - IT IS OK – just tell me ASAP (LIKE NOW!)
• If your presenter is going to be away – IT IS OK – just tell me ASAP (LIKE NOW!)

Expect more virtual meetings in lower committees but not in the UPC
Most document and additional resources can be found at

https://www.stjohns.edu/academics/office-provost/faculty-resources
• [https://signon.stjohns.edu/](https://signon.stjohns.edu/)

• Follow the directions e-mailed (to all Chairpersons)

• SEEK assistance from IT—don’t wait until the last minute
• Help us reinforce the “things we tell the faculty members”

• Reminders of Important dates (keep them from waiting until the last minute)

• Look for and distribute the e-mails with the “how to” screen shots (to candidates and to P&B members)

• Reinforce substance over worries about the form
  - Neat; consistent; readable to everyone, even those in different disciplines

• Provide with consistent decision letters - be careful about casually remarking on the results of a meeting, remind committee members of confidentiality