PAF’s, P&B’s and CPC’s

September 2023
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
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.

UPC

Chaired by Provost
20 members
10 appointed administrators
10 elected faculty

Disciplines will vary

Statutes 6.26 (c)

The UPC shall submit recommendations ...to the President whose decision shall be final.
THE PROCESS & TIMELINE

JAN - APR 2024
University Personnel Committee
20 members; 10 administrators, 10 elected faculty
(Every Wednesday)

May 2024
PRESIDENT

MAY Memo & PAF
(via Chairpersons, on Provost’s Web page)

Summer 2023 (reappointments)
• Begin working on upcoming PAF
• Move everything on last year’s form down

September
• Workshops
• Classroom visits

October
• Classroom visits
• Check in with Chairperson
• Look for instructions in your e-mail

PAF DUE November 3

DECEMBER 2023
CPC = College Personnel Committee
Chairperson – Dean of the College/School

NOVEMBER 2023
P & B = Department/Division Committee
Chairperson – Chair of the Department/Division

NOTE: 1st and 2nd year Instructor or Assistant ********
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 . . .
PERSONAL APPEARANCES: WHEN?

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: Faculty with the option need to avail themselves of their 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.
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?
Mentoring, Voting, and . . .

No surprises in the Tenure year please!
COVID MOU re: VOTING - EXPIRED

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 process as adopted during the spring 2020, fall 2020 and spring 2021 semesters which are:

3.04 Faculty Voting Rules

a. An Eligible Faculty member may not vote on any matter concerning his/her reappointment, promotion, conferral of tenure or in any matter involving a conflict of interest.

b. Each Eligible Faculty member shall cast his or her vote on the applicable official voting form.

c. All elections shall be by secret ballot.

d. 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.

e. The appropriate dean or department chairperson or director shall certify the results of all faculty elections to the President of the University within one week of the election.

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.

2022-2025 University Statutes

8.02 (f)
A statement of the reasons for non-reappointment shall be included in all notices of non-reappointment delivered

8.03 (e)
For all faculty member, the application shall continue through the review process to a final decision by the President until it receives an unfavorable disposition in two consecutive reviewing committees.
## 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/School) 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 note that the reason - but the chairperson should be able to provide guidance for the person for the next PAF.</td>
<td>General rules for PROBATIONARY faculty members: include name of committee, date of meeting, vote tally, if negative decision indicate that the PAF will receive another review. The faculty member is given the reasons for the negative vote.</td>
</tr>
<tr>
<td>Associate Professor years 1-2</td>
<td>Inside address: Please be advised that at its meeting on (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 Statutes Section 8.02(a) accord no further review and your term at St. John’s University will expire on June 30, 20XX. I regret having to inform you of this decision and wish you the best of luck in the future. cc: Dean, Provost, Personnel file.</td>
<td></td>
</tr>
</tbody>
</table>

*If there is a possibility of a terminal year, please contact Linda for confirmation and to check all datar.

<table>
<thead>
<tr>
<th>Faculty member is OFF probation</th>
<th>Positive Decision: Reappointment Action</th>
<th>Negative decision: Reappointment Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inside address: Some are except if the vote was split and there were negative reasons, i.e. 4-0, then you do give the reason for the negative vote and the Chairperson should be able to provide guidance for the next PAF.</td>
<td>Inside address: Please be advised that at its meeting on (Date) the (Department/Division) of (College or School) rejected your personnel action for reappointment by a vote of 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 reappointment is denied. You are not required to take any further action at this time.</td>
<td>General rules for NON-PROBATIONARY faculty members: include name of committee, date of meeting, vote tally, if negative decision indicate that the PAF will receive another review. The faculty member is given the reasons for the negative vote.</td>
</tr>
</tbody>
</table>
II. Research Instructions
Sections F or G, H, I, J and K of the PAF

If you are a member of the faculty of SJC (Inc. ICS), EDU, TCB or PHM, please complete F and NOT G.
If you are a member of the faculty of CCPS or L1B, please complete G and NOT F. If applicable, please describe research efforts that support an equitable teaching and learning environment.

III. Service Instructions
L, M and N

L. Sustained Service to the University, School and Departmental or Divisional Committees with their Dates: (if none, so state)
   If applicable, please mention any service activities related to community groups, councils, committees and centers whose work reflects the University commitment to an equitable and inclusive teaching and learning environment.

P. Chairperson and Dean Classroom Evaluation
INSTRUCTIONS All applicants should attach these forms to the PAF even if they are also placing them in the teaching portfolio.
Observation summaries should include how the faculty member has created an inclusive environment demonstrated by pedagogical methods, classroom presentations or student engagement strategies that reflect the University’s commitment to an equitable and inclusive teaching environment.
Learn More

- Personnel Action Form (PAF)
- Academic Support for Your Students
- Guidelines for Program Proposals
- Annual Faculty Activity Report

Personnel Action Form (PAF)

The Personnel Action Form (PAF) is what faculty submit when applying for Reappointment, Tenure, or Promotion. This page features information of importance to all full-time junior faculty who must fill out the PAF every year, as well as senior faculty going through the PAF process for promotion. PAFs are submitted to Department Chairs and Directors in October every Fall. Please note that all deadlines for submission are firm.

Updated information on the PAF files below has been posted.

- PAF for 2023-2024 (Word)
- Preparing Your PAF-General
- Provost’s May Memo 2023 (PDF)
- PAF - with FAQ’s 2023-2024 (PDF)
- Dean-Chair Course Evaluation Forms (Word)
- Dean-Chair Diversity Examples in Teaching, Research and Service (PDF)
- Dean-Chair Course Evaluation Form - Online Courses (PDF)
- Confidential Letters Procedure (PDF)
- Confidential Letters Referees (PDF)
- Preparing Your PAF-Tenure Actions (PDF)
- Preparing Your PAF-Years 1-5 and Full Professor (PDF)
- Preparing Your PAF-Info for Chairs & P&B
Collective Bargaining Agreement

ARTICLE 9
FACULTY RESPONSIBILITIES

9.01 General

Every faculty member has an obligation to teach effectively, to conduct scholarship and research, and to serve the University in its efforts to grow and develop as an academic institution, as set forth herein.

9.02 Teaching

The faculty member seeks above all to be an effective teacher and scholar. To that end the Administration and the AAUP/FA have agreed that effective teaching requires continuing attention to the faculty member’s pedagogical methods, classroom presentation, and student engagement. Consistent with the University’s commitment to an equitable and inclusive teaching and learning environment, the University shall recognize the accomplishments of faculty members that pursue pedagogical methods, classroom presentation, and student engagement strategies that reflect this commitment. However, this provision is not intended to create or substantiate any new requirements under the standards governing promotion and tenure as detailed in Article 6.02 of this Agreement. Also important is the faculty member’s commitment to be available to students outside the classroom. Representative examples of such activities include advising, academic discussion, facilitation of communication and extracurricular learning opportunities, and for counseling and mentoring students about research, career choices and professional interests. Representative examples of research mentoring include independent studies, supervised research methods, and/or project organizing, directed research, theses and dissertations. The faculty member is expected as a matter of course to be available to his/her students and to be responsive to their academic needs. The faculty member shall participate in preparing, administering and grading comprehensive examinations.

9.03 Research and Scholarship

The faculty member recognizes that effective research and scholarship enhances teaching and the reputation of the University and the faculty member accepts the obligation to develop, improve and demonstrate research and scholarship. Faculty members are expected to be active in research and scholarship. Consistent with the University’s commitment to creating an equitable and inclusive teaching and learning environment, the University shall acknowledge faculty members that demonstrate research and scholarship that reflects this commitment. However, this provision is not intended to create or substantiate any new requirements under the standards governing promotion and tenure as detailed in Article 6.02 of this Agreement. In the College of Professional Studies and in the University Libraries, faculty members are expected to engage in professional development, unless a faculty member in the College of Professional Studies and in the University Libraries, faculty members are expected to engage in professional development, unless a faculty member in the College of Professional Studies has elected to engage in research and scholarship commensurate with faculty elsewhere in the University (see Appendix I). Consistent with the University’s commitment to creating an equitable and inclusive teaching and learning environment, the University shall recognize faculty members that participate in University- or community-based groups, councils, committees and centers whose work reflects this commitment. However, this provision is not intended to create or substantiate any new requirements under the standards governing promotion and tenure as detailed in Article 6.02 of this Agreement.

9.04 Service

In keeping with the significant and appropriate involvement of the faculty in the academic governance of the University, the faculty member recognizes the obligations to develop, support and enhance the life of the University by participating in departments, college and University committees and organizations whose work is essential to improving the quality of the University as an institution of higher learning. This includes attending appropriate meetings and evaluating and updating courses and programs to maintain their quality, relevance and viability. Consistent with the University’s commitment to creating an equitable and inclusive teaching and learning environment, the University shall recognize faculty members that participate in University- or community-based groups, councils, committees and centers whose work reflects this commitment. However, this provision is not intended to create or substantiate any new requirements under the standards governing promotion and tenure as detailed in Article 6.02 of this Agreement.
CHECK THE PAF with FAQ’S FIRST

Office of the Provost – MAY 2020
Directives for Personnel Actions
Reporting period OctNov 2019-Mar 2020

Personnel Action: General Directives

1. It is the SOLE RESPONSIBILITY of the applicant requesting this personal action to follow the format specified in these instructions and be able to verify the integrity of all data presented.

2. ALL EVIDENCE and information relating to this action must be included at the time the PA is submitted to the Departmental or Divisional Personnel and Budget Committee through the Faculty Personnel Portal. No documents or information may be added at a later stage of the personal action process that was not considered by the original reviewing committee. Therefore, if materials are found to be missing at any point in the review process, applications may be returned to the lower level committee for reconsideration. In order to avoid such errors, a draft of this application must be reviewed and discussed with the Chairperson prior to submission to the Portal. Chairpersons will be asked to certify that they have read the document and offered guidance to the applicant.

3. All information requested for this form is to be completed according to the directions. Follow the prompts indicated in the keys next to the section. Use reverse chronological order where applicable.

4. All applicants must complete the Cover Page and the Table of Contents. These pages must constitute the first two pages of your application. Remove the page prior to submission to the Portal.

5. Two paper copies of “Y”, the index of support materials, should be signed at the front of any boxes or folders containing written support material. If your support material is completely electronic this is not applicable.

6. After the Chairperson and applicant review, determine the form is complete and that the support material is compiled properly, the form should be converted to PDF format. Assistance will be available to faculty through the Portal workshops and written instructions.

7. Once in PDF format, the PAF may be loaded onto the Faculty Personnel Portal for FINAL SUBMISSION to the Chairperson. The Chairperson will be responsible for moving the form through the portal to the next committee for review. Assistance will be available to faculty and Chairpersons through workshops, individual training and written instructions.

8. Once the PAF is loaded onto the Faculty Personnel Portal, the applicant must then submit three signed and dated paper copies to the Chairperson. Each copy should be signed and certified at the end of the PAF. One copy will remain filed with the Department; the other two copies will be forwarded to the next committee. The THREE PAPER COPIES are to be submitted on the front of a "Y" paper. COPY ALL COPIES. Please staple each form once at the top left corner. Do not use headers or large clips.

9. The respective Chairpersons of all personnel committees are not to send out any other instructions.
Important: USE the KEYS to assist the READER

And distinguish the CURRENT & PRIOR YEARS

**CURRENT YEAR**

Approximately one year’s worth of information  October/November 2022- November 2023

Reverse chronological order
- October 2023
- July 2023
- March 2023
- December 2022

**PRIOR YEARS**

- 2021-2022
  LAST YEAR’S “CURRENT YEAR” – cut and paste here
  2020-2021
  2019-2020

OR

- 2022
  LAST YEAR’S “CURRENT YEAR” – cut and paste here
  2021
  2020
  2019
S. Certifications

a) Candidate Certification:

Certification:
I affirm and declare the following:
1. I am the person whose name was entered on the Cover Page of this form.
2. The statements made on this application are true and correct.
3. I have not knowingly and/or willfully made false statements on this application.

_________________________  __________________________
Signature                          Date

b) Chairperson Certification

I certify that I have met with the candidate, read and reviewed the application, and provided guidance with respect to this PAF.

_________________________  __________________________
Signature                          Date

T. Index

Index of Support Material
Attach an index of the support material you are providing to the end of this PAF. Actual support material should be completely in electronic format.
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!)
• [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