

guidebook

of the **Professional Development Committee**

Operating under the AAUP-Utica Utica University Collective Bargaining Agreement (2015-2020) and the Memoranda of Agreement (2020, 2021, 2022-2027)



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Purpose

The purpose of this *Official Guidebook of the Utica University Professional Development Committee* (PDC) is to provide members of the University community who may have matters before the PDC with a resource from which to guide their case through the PDC. Predated documents should be disregarded in favor of the guidance provided herein.

The [Utica University-AAUP-Utica Collective Bargaining Agreement \(CBA\)](#) is the authoritative document outlining the general parameters of the functions and processes of the PDC (as the same may be amended).

This document summarizes requirements for your appearance before the PDC, appeals, offers suggestions for creating, updating, and presenting your case, and provides a set of resources to help you through your post-tenure PDC review(s) at Utica University. It does not replace or supersede the CBA stipulations. Please report any broken links to the Office of the Provost and/or the chair of the PDC.



The Professional Development Committee (PDC)

The Professional Development Committee, hereinafter referred to as the PDC, is an official committee of the Faculty Senate of Utica University, codified in both the [ByLaws of the Faculty Senate](#) and [Collective Bargaining Agreement \(CBA\) between Utica University and the AAUP-Utica](#), as the same may be amended from time to time. Five (5) tenured faculty members from across the University currently make up the PDC, as promulgated by the [University Faculty Senate](#). One tenured, non-voting associate member may also be selected by the candidate under review, participating only in discussions related to the candidate under consideration. The PDC is charged with reviewing post-tenure faculty activity every five (5) years. The PDC provides summative and formative favorable or unfavorable recommendations to the candidate and the Provost and oversees related appeals.



The system of periodic faculty review at Utica University has as its major goal the professional development of individual faculty members. The deliberations of the Professional Development Committee (PDC) and the discussions the Committee fosters

with each faculty member are best viewed as conversations about careers. In addition



to this formative evaluation role, the PDC is responsible for making summative evaluations. In that respect, however, the PDC operates with a set of standards different from those of the Faculty Affairs Committee (FAC) and strives to make holistic judgments that reflect the reality that the traditional areas of evaluation (teaching, professional

accomplishment, service) receive different emphases at different points in a faculty member's career. Conspicuous success in teaching, however, should always be the most important.

Every tenured faculty member will be reviewed on a periodic basis in compliance with the State Education requirements. While you have already been granted tenure at Utica University, the PDC sees your periodic review as a healthy process, whereupon you are held to similar expectations relative to your tenure process throughout each of your periodic reviews before the PDC.

While every effort is made to keep this document current, it is the candidate's responsibility to seek guidance and/or clarification related to any matters that may come before the PDC. Candidates should seek official guidance from their school dean and/or the Office of Academic Affairs, as well as the [leadership of the AAUP-Utica](#).

The PDC is a committee of your peers. The five (5) permanent members represent the University tenured faculty. **We want you to succeed in your periodic review process.**

Confidentiality Statement

An essential element of the effective operation of the PDC is that its deliberations be conducted and transmitted in the strictest confidence. Any failure to observe confidentiality, particularly with respect to personal and personnel matters, undermines confidence in the Committee. The following standards are in place to preserve confidentiality:



1. All discussions will be limited to official meetings of the PDC, except as may be necessary with fellow Committee members. No discussions of issues and personnel matters will ever be conducted with nonmembers of the Committee.

2. The only reports emanating from the Committee are those that are officially approved by the full Committee, and these should be reported only by the Committee's designated representative, usually the chair.
3. Although inappropriate, members of the University Community frequently question the progress of the Committee in its work. In no instance is it permissible to relate the names of persons under consideration or to provide any details about actual discussions.

Candidate

For the purposes of this document, a Candidate is a member of the University community who meets the eligibility criteria as outlined in the [CBA](#) to come before the PDC for periodic review and/or related appeals. Questions regarding eligibility should be directed to the [Office of the Provost](#) and/or the [leadership of the AAUP-Utica](#). It is solely the responsibility of the candidate to coordinate with the appropriate offices and to ensure that all documents desired for review are provided to the PDC. Candidates should refer to their respective sections of the [CBA](#) in their role as a faculty member. Where possible, we have attempted to parallel these processes for faculty members. The [CBA](#), however, remains the authoritative document.

Preparing Your Case Statement

Whether or not you are appearing before the PDC for your first or last appearance, you are required to prepare and present your case. No one can do this for you, and you are solely responsible for the contents of your final case submission. However, there are many colleagues and resources that can assist you in this process. The PDC encourages you to reach out to colleagues across the University and not just within your discipline. These include but are not limited to, current and former members of the PDC, as long as you do not consult current members of the PDC during the year of your review. Regardless of your tenure here at Utica University, we expect all faculty colleagues who appear before the PDC to maintain the highest level of preparedness in their submissions.

My Case for PDC Review

Much like your tenure package, there are three key components to a PDC package: the Summary of Professional Activities (SOPA), Reflective Statements on Teaching, Professional Accomplishment, and Service and Supporting Evidence, including artifacts of teaching effectiveness (such as peer evaluations and opinionnaires), all of which are a part of your overall case statement. Each of these is briefly described below.



Summary of Professional Activities (SOPA)

Each year faculty members submit a Summary of Professional Activities (SOPA) to their deans that documents activities and progress in each of the three areas originally required for tenure, or promotion to associate professor (teaching, professional accomplishment, and service). The SOPA is an enhanced Curriculum Vitae that provides a reverse chronological accounting of noteworthy accomplishments and activities in each of the three areas of review cited above.

One effective strategy for maintaining your summary is to establish a file in which to collect artifacts of anything that you may wish to include in your summary.

This may include, but is not limited to, conference programs, Nexus notes, teaching syllabi, sample assignments, presentation flyers, evidence of committee membership, etc. Your SOPA should grow and evolve over time so that the version you present in your PDC package will be a well-organized, cumulative record of your time at the University. Your SOPA is your creation, but keep in mind that the goal of the SOPA is to communicate your academic record to colleagues who may not be familiar with you or your area of scholarship. Highly effective SOPAs are as concise as possible. Candidates are encouraged to weigh carefully the inclusion of mundane or minor activities that may obscure more impactful activities or accomplishments. Beware of hiding important work in a sea of trivia.

Effective SOPAs make it easy for everyone to find what they are looking for (evidence of excellence in teaching, scholarly accomplishment, and service). Effective SOPAs also include annotations that clarify your accomplishments so that a colleague from a different discipline can best understand your case (i.e., is an award intramural or international, is an article in a top-tier journal or a newsletter, did you play a minor or a major role as a coauthor, etc.).

Reflective Statements on Teaching, Professional Accomplishment, and Service

Whereas your annual *Summary of Professional Activities* is an extension of the previous year each year, this is not true of your Reflective Statements on Teaching, Professional Accomplishment, and Service. Reflective Statements give faculty members the opportunity to think annually about their philosophies, goals, strategies for achieving those goals, and successes and challenges in each of the three areas of teaching, professional accomplishment, and service. Your Reflective Statements are a supplement to your SOPA, not a list recounting the items in your SOPA that PDC members can and will read.



Use this opportunity to reflect genuinely on the three areas of your work and to convey to the PDC your thoughts on your attempts, wins, and losses as an academic at Utica and how you are growing as a member of the academy. What are your goals? How do you intend to achieve those goals? What have been your successes? Have you experienced difficulties or setbacks, and how are you attempting to overcome these challenges? In short, how are you thinking about the items in your SOPA as well as your envisioned future? Reflective statements need not be overly long or perfectly comprehensive. The best reflective statements are concise but highly thoughtful and allow PDC members insight into the candidate's thinking about the most important aspects of their work and development as a scholar over the interceding five (5) year period of review.

These Reflective Statements should evolve as the faculty member proceeds through each five (5) year review. Further, your Reflective Statements should respond to feedback from the students (SOOT data, both qualitative and quantitative) and your colleagues. Although not required, post-tenure peer evaluations may be included to demonstrate continued teaching excellence. Your dean, department chair/director, and colleagues are available to provide assistance in writing these statements. Please be sure to give them enough time to read and comment on your statements and for you to change them in response to the feedback before the deadline for submission.

Ultimately, post-tenure Reflective Statements create a narrative about your progress during the interceding five (5) year period and will be useful in creating your package and overall case statement.

Supporting Documents in your Supplemental File

This component of your package is, in essence, the file in which you have been collecting materials. It is the evidence that supports the statements you have reported in your Summary of Professional Activities. **Faculty members must submit their materials in an electronic format**, absent exigent circumstances, with sections devoted to teaching, professional accomplishment, and service as appropriate. While not required, Candidates who are full or distinguished professors may choose to include continued evidence of leadership. However, other ways of organizing this material would be acceptable as long as the information is clearly indexed and/or hyperlinked. The amount of material that you choose to include need not be exhaustive.

Advice and Suggestions for Developing Your Case

Faculty Mentor(ship)

The goal of the PDC is to proactively ensure your continued active engagement in the academy as well as to provide structure to submissions to the PDC for their review.

While you cannot ask current members of the PDC for advice or direction during your year for consideration, we encourage you to reach out to past members of the PDC to provide additional guidance. Current and future Candidates may reach out to the [AAUP-Utica](#) to review a list of Faculty colleagues who have previously served on the PDC and are willing to review your materials. Make sure you are professionally comfortable with the mentors you seek. They should be somewhat familiar with your area of expertise, and people within and outside your discipline should be represented.

The Procedures for Consideration before the PDC section of this document provides guidelines for preparing your package. This section of the document will talk about each requirement and provide advice and suggestions for developing your package. Below are some of the documents that would be appropriate to keep in your files to help you update your annual Summary of Professional Activities and PDC package.

Whereas there is some variability across schools, the following list is applicable to all candidates. Ultimately, communications with your dean, department chair/director, and mentors will provide the best assurance that you have prepared a complete package for the PDC to review.

Below are examples of possible items to include in your package. This list is not to be considered fully inclusive nor a set of requirements, but rather suggestions to get you started thinking about what to include. Ultimately these items will be used to put together your package and your unique case.

Only submit materials that are post-tenure or since your last review.

Teaching

Required Materials:

1. Your Reflective Statement on Teaching is a culmination of your post-tenure experience as an educator since your last review.
2. Teaching evaluation documents provided by your school office to use to help summarize your teaching experience as viewed by students.

Other Possible Materials

3. Strong examples of syllabi, course projects, assignments, and evaluation measures for students
4. Candidates who have post-tenure concerns about how their teaching is perceived by students or faculty should seek out peer evaluations to both help refine their teaching (or perceptions of their teaching by students) and also to help build their case before the PDC. Good choices for evaluators are the tenured faculty members in your department, your department chair, faculty who have earned the Distinguished Teaching Award, or faculty members outside of your School.

Professional Accomplishment

Required Materials

1. Your post-tenure Reflective Statement on Professional Accomplishment is a culmination of your post-tenure experience as a scholar/professional in your field since your last review.

Other Possible Materials

2. Creative Works, including such things as juried or unjuried shows of artwork or craftwork, musical or dramatic performances, published creative writing or journalism, curation of collections, performances, or exhibits, and similar creative endeavors may be included (sent digitally and/or hyperlinked with no paywalls).

3. Professional publications or presentations while at Utica University, since your last review, including acceptance letters/notifications (identify invited publications separately and indicate if peer-reviewed)
4. Evidence of conference attendance in the service of continuing professional education
5. Funded grants, or evidence of submitted competitive grant proposals, even if not funded
6. Local and campus publications or presentations
7. Acknowledgements and awards for scholarship and other forms of professional accomplishment in your field
8. You may wish to solicit support letters from colleagues external to Utica University and/or from professional organizations to provide perspective on your professional accomplishment.

Service

Required Materials

1. Your post-tenure Reflective Statement on Service is a culmination of your post-tenure experience in service to the University and your profession, and not a repeat of your SOPA.

Other Possible Materials

2. Some examples of service include committee memberships, volunteer work in the community, and community memberships, etc.
3. Documentation regarding any service to your professional community while at Utica University (membership, leadership roles, significant accomplishment, etc.)
4. Documentation regarding any service to the Utica University community while at Utica University (elected and appointed committee membership, leadership roles, significant accomplishment, etc.)
5. Membership on the Governing Board or as an officer of AAUP-Utica is recognized as service.
6. Documentation regarding any service to your local community while at Utica University (committee membership, leadership roles, significant accomplishment, etc.)
7. Acknowledgment for service on or off campus (support letters, awards, etc.)
8. Campus (intramural) Presentations and Publications

Procedures for Consideration of Matters Before the Professional Development Committee

The criteria for matters before the PDC may be found in the [Collective Bargaining Agreement \(CBA\)](#) between Utica University and the American Association of University Professors Utica University Chapter ([AAUP-Utica](#)), as the same may be amended. If this procedure document conflicts with the aforementioned Agreement, the Agreement shall prevail. Utica University faculty who have achieved tenure are notified when they will appear before the PDC. This evaluation generally occurs in the fifth (5th) year after being granted tenure, and every five years thereafter.

PROCEDURE

- 1.
- 2.
- 3.



Timetable for PDC Review

- **June 1:** Candidates for post-tenure review during the upcoming academic year are notified by their School Dean.
- **September 25:** Candidates will submit all information to be considered in evaluation to relevant school office.
- **October 1:** The school office will send all relevant materials to Office of Academic Affairs as noted.

Candidate's Responsibilities

1. **Be available for questions (on call)** when PDC considers your case. You will be advised as to the date(s) and time(s). Members of PDC understand that it may be an inconvenience to pull you out of a class, your research, committee work, or some other important activity to meet with the committee, but we have learned over the years that having a set meeting time is essential to the successful function of this committee; we regret the necessary disruption, but your case is important to us.
2. **Flexibility** - While we acknowledge that this is a stressful time for each Candidate, please note that the PDC will make every effort to consider your case on the date scheduled. However, there are many factors that may impact this date that have nothing to do with the consideration of the candidate scheduled for that date. If we change your date of appearance, it is not a reflection on your case, but the reality of our very careful and methodical process of review of each case and the other work that the PDC performs.
3. **On Your Day** - On the day of your appearance you will first be asked to provide the Committee with an update on anything new between the time you submitted

Adopted October 7, 2024

your materials and when you appear. Thereafter, members of the Committee may have additional questions for you, but may not. Try not to read into the volume, or lack thereof, of questions from the Committee. Your tenured faculty advocate, if one is selected, may come in concurrently with your appearance.

Dean's Responsibilities

1. Distribute this document to candidates. Notify faculty members in writing of deadlines for PDC consideration by June 1
2. Provide guidance for each candidate who is scheduled for PDC consideration
3. Ensure that all elements of the evaluation criteria are addressed, for example, the evaluation of teaching should also include the candidate's activities as an academic advisor and work done with students outside the classroom.
4. The dean shall review:
 - a. The file for completeness
 - b. Provide the Committee with the *Confirmation of Review of PDC Materials by Dean* document
5. Upload the candidate's completed file to the PDC portal at least one week prior to the candidate's consideration by the PDC. This includes, but is not limited to:
 - a. Summary of Professional Activities
 - b. Reflective statements
 - c. Grade Distribution Report
 - d. Student evaluations (opinionnaires) from date of hire
 - e. Peer evaluations (in reverse chronological order with the most current first)
 - f. *Confirmation of Review of PDC Materials* document
 - g. Also included should be one copy of the Supplemental File
6. Be available for questions (on call) when PDC is considering the candidate to elaborate on any concerns indicated on the *Confirmation of Review of PDC Materials* document.



Consideration Procedures of PDC

1. A positive motion is made to favorably recommend candidates for their PDC review.
 - a. As a general rule, only one candidate is considered at each meeting.
 - b. PDC members will discuss the Candidate.
 - c. The Dean may be invited in for consultation.

- d. The PDC reserves the right to call in others to clarify any point(s) of concern
- e. Upon completion of the discussion, a vote is taken by anonymous ballot.
 - i. A quorum is 4 voting members of 5 total members.
 - ii. Ratio to Pass:
 - 1. 3 of 5 members present
 - 2. 3 of 4 members present
- 2. Any permanent member of the Committee may call for reconsideration of any candidate at any time.
- 3. All recommendations are forwarded to the Provost for approval.
- 4. The Provost will convey the results to the candidates, indicating strengths and weaknesses in the candidate's record.
- 5. In cases of an unfavorable review, please refer to the [CBA](#), as the same may be amended.
- 6. **Appeal.** Please refer to the [CBA](#), as the same may be amended.
- 7. **Plan for Improvement.** Please refer to the [CBA](#), as the same may be amended.
- 8. The foregoing review process and any ensuing conclusions, recommendations or information may not be used in any disciplinary proceeding under Article 8.10 and Article 11 of the [CBA](#), as the same may be amended, unless the University shall have concluded, based on the advice of legal counsel, that applicable law or regulation requires the use of such materials.

Other Procedures

- 1. It is the responsibility of the candidate to provide full documentation to the PDC, and one cannot expect that the PDC will ask for missing information.
- 2. The PDC reserves the right, however, to request additional information at its discretion, including conversations with other members of the University community
- 3. Although not required, in-class peer evaluations can be conducted during the five-year interval period.