**Appendix A: Promotion Procedures**

These Procedures set forth the process for AUA faculty promotions, the policy for which is described in the last paragraph of the current *Appointment, Retention, and Promotion and Faculty Titles policy*  [http://policies.aua.am/#?id=377](http://policies.aua.am/%22%20%5Cl%20%22?id=377)

Promotion to Higher Faculty Rank

1. **Starting the Process**. The process starts with a preliminary consultation between the Dean and the Candidate about readiness for promotion, preferably based on preparation of a draft dossier. In the event that the Candidate is a dean, the steps involving the dean are omitted and the process starts with the Candidate's discussion with the Provost and submission of the Dossier to the Provost. Candidates are advised to submit their applications as early in the academic year as possible. Promotion applications typically take five months to process from the date of submission. Dossiers submitted by January 15 will be decided by June 1 of that academic year.
2. Preparing the Dossier. The Candidate prepares a full Dossier consisting of:
	1. Cover letter.
	2. Up-to-date curriculum vitae.
	3. Self-Evaluation of accomplishments organized according to the standards for promotion set forth in the policy, citing evidence of achievement in each of the spheres of teaching, scholarship, and university/professional/public service.
	4. A list of at least 5 and no more than 7 potential academic referees, which shall include at least 2 experts currently working outside of the AUA. In addition to academic referees, the candidate may provide a list of up to five current or former students from whom AUA may seek references. Academic referees preferably should have familiarity with the work of the candidate and the university and its standards as well as the candidate's field of teaching and scholarship. A list of up to 3 individuals for whom the candidate requests exclusion as referees, and a brief description of reasons for each exclusion, may be provided as well.
	5. Appendix: All scholarship and other supporting materials (or on-line references to such materials) since the last promotion review should be provided in an appendix.
	6. The candidate submits the complete Dossier to his/her Dean.
3. Submission to the Provost. After receiving all Dossier materials, the Dean forwards the Dossier package to the Provost. The Dean must forward the Dossier to the Provost in a timely manner, immediately after receipt of the materials listed in item 2.
4. Reference Letters. The Provost shall request reference letters from two academic referees selected from the Candidate’s list and at least one from an academic referee outside the Candidate’s list. In addition, reference letters from the student list may be requested. The Provost may not request letters from the Candidate’s exclusionary list. At least one reference shall be from an individual working within the AUA and one from an individual currently working outside the university. Requests for reference letters should include:
	1. Copies of, or on-line references to, relevant AUA policies along with instructions to conduct evaluations consistent with AUA's policies and standards.
	2. A request that the reference be candid, objective and evidence-based.
	3. Assurance that the references will remain confidential to the extent allowed by law; only a redacted version will be provided to the candidate, if requested.
	4. The Dossier without 1) the list of proposed referees or 2) the exclusion list.

In addition to the above, the Provost shall inform all faculty in the candidate’s program with ranks above the current rank of the candidate that they may express their recommendations on the candidate’s suitability for promotion, in writing, to the Provost. The Dossier, together with all evaluations, recommendations, reports, supplemental submissions, and reference letters, is referred to herein as the Promotion File.

1. Ad Hoc Committee. The Provost shall appoint an Ad Hoc Committee comprised of at least two and at most three AUA faculty members with ranks higher than the current rank of the candidate. It is preferred that there be at least one Ad Hoc Committee member from outside the candidate’s College/School and at least one from inside the College/School. At least one member should be in a field close to the candidate’s field of teaching and scholarship. Deans may serve on the Ad Hoc Committee, but the Committee membership may not include the President, the Provost or the Dean of the home College/School of the candidate. The Provost shall also appoint the Chair of the Ad Hoc Committee. The membership of the Ad Hoc Committee shall remain confidential. The Ad Hoc Committee shall review the entire Promotion File and prepare a report containing its independent evaluation and recommendation based on AUA's standards and policies, which becomes part of the Promotion File. The Ad Hoc Committee shall submit its Report to the Provost.
2. Dean’s Review. The Dean will review the Promotion File and will prepare a recommendation to the Provost, which likewise becomes part of the Promotion File.
3. Provost Review. Upon receipt of the Promotion File after the Dean’s review, the Provost shall review the Promotion File to assure completeness and add his/her own evaluation and recommendation based on a holistic and equitable assessment consistent with the AUA definition of scholarship and other AUA promotion decisions.
4. Promotion Decision. The Provost shall then send the Promotion File to the President for his or her Promotion Decision based on the entire record. In the event that the President’s decision departs from the recommendations of the Dean, the Ad Hoc Committee and/or the Provost, the President shall provide a written explanation that will be included in the candidate’s Promotion File.
5. Reconsideration. If the promotion is denied, the Candidate may submit a Request for Reconsideration, including supplemental submissions, if any, to the Provost. The Provost shall ask the Dean and the Ad Hoc Committee to review the Request for Reconsideration and any supplemental submissions from the Candidate and make recommendations. The Provost forwards these recommendations along with his/her own to the President. The President’s decision shall be considered final and should be promptly reported in writing to the Candidate. In the event of a negative outcome for reconsideration of a promotion, the candidate must wait at least 2 years before submitting his or her dossier for a new evaluation for promotion.
6. Access to Promotion File. After the Promotion Decision and/or the Decision upon Reconsideration, the Candidate may request access to a redacted version of the Promotion File, which shall be provided, within ten (10) working days of the request and shall include the recommendations and evaluations of the Dean, Ad Hoc Committee, Provost, and referees who were consulted in making the decision.
7. Promotion Effective Date**.** Promotion in rank shall become effective at the start of the academic year following the Promotion Decision.