



State University of New York at Fredonia

POLICIES ON REAPPOINTMENT, CONTINUING/PERMANENT APPOINTMENT, AND PROMOTION OF FACULTY and PROFESSIONAL STAFF

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I. Background on These Policies

The policies in this document outline the rationales, definitions, procedures, and processes for personnel reviews of term (tenure-track) faculty¹ and professional staff in the State University Professional Services Negotiating Unit (PSNU)² at the State University of New York at Fredonia. In compliance with the *Policies of the Board of Trustees of the State University of New York* (2006) and the Agreement between the State of New York and United University Professions (July 2, 2007 – July 1, 2011), these policies define and clarify institutional standards and expectations at SUNY Fredonia.

They are based in part on the work of the Task Force on Personnel Policies³, which was appointed by the Vice President for Academic Affairs in Spring 2007 as partial fulfillment of the Memorandum of Understanding between SUNY Fredonia and the State University of New York. This Task Force met throughout the 2007-08 academic year and submitted in May 2008 a report of findings and recommendations for tenure-track faculty and professional staff in the PSNU.

The recommendations of the 2002 Task Force on the Evaluation of Teaching⁴ were also adapted and included in these policies, which replace previous versions of personnel policies in the Campus Handbook and on the Human Resources website. The Academic Affairs Vice President's Council⁵ provided a draft of personnel policies in academic year 2008-09, building on these earlier documents. In academic year 2009-10, three subcommittees of the Faculty and Professional Affairs Committee (FPAC) were charged with developing recommendations for

¹ Except where otherwise noted, the term "faculty" in this document includes department/school faculty and library faculty.

² Represented by the United University Professions (UUP), the State University Professional Services Negotiating Unit is comprised of faculty and non-teaching professional staff within the State University system.

³ Members of this Task Force who were approved by the University Senate (April 30, 2007) and served for all or part of 2007-08 were Richard Reddy and Maggie Bryan-Peterson (co--chairs); Nancy Hagedorn, Tom Loughlin, Larry Maheady, Averl Otis, Jodi Rzepka, Monica White, Kerrie Wilkes, and Julia Wilson.

⁴ Members of this Task Force who served in Spring 2002 were Jack Berkley and Joan Burke (co-chairs); Bob Booth, Roger Byrne, Bill Jungels, Barbara Mallette, Richard Reddy, Joe Straight, and Paul Schwartz.

⁵ Members of this administrative Council were Virginia Horvath (facilitator); David Ewing, Randy Gadikian, Christine Givner, Melinda Karnes, Kevin Kearns, John Kijinski, Karen Klose, Beez Schell, and Eric Skowronski.

personnel policies to FPAC⁶, which then provided an initial Final Draft to the University Senate. Several forums and discussions were held with VP Council, University Senate, the chairs of the colleges of Arts & Humanities and Natural & Social Sciences, and tenured and tenure-track faculty while the subcommittees and FPAC created their recommendations. The policies were discussed in the University Senate on February 8, 2010 and March 1, 2010 and approved in their current format on March 1, 2010. The Senate's intent is for the policies to go into effect on September 1, 2010. However, the Senate can only make a recommendation to the President of SUNY Fredonia and the President of the Fredonia Chapter of United University Professions, who must arrive at an agreement for the policies to go into effect.

All new faculty hired for the 2010-11 academic year and thereafter, along with tenured faculty who begin seeking promotion to full professor in the 2010-2011 academic year, shall follow the guidelines and timelines outlined in these policies. Faculty already on the tenure-track are "grandfathered" and may choose whether they want to be evaluated using the previous guidelines and timelines or those outlined in these policies. By September 1, 2010, faculty must make clear in a memo to their Chairs/Unit Directors which guidelines and timelines they will be following for reappointment, continuing appointment and promotion. In the absence of clear promotion policies at the department level, faculty and departments shall follow the guidelines and timelines outlined in these policies.

II: Rationales and Principles for These Policies

These policies were developed with these rationales in mind:

- To clarify in a single document—approved after broad discussion—the expectations and policies for personnel reviews for term faculty and professional staff;
- To clarify for term faculty and professional staff the processes and policies for their reappointment, continuing/permanent appointment, and promotion, as well as the relationships among these forms of personnel review;
- To clarify for term faculty and professional staff the ways SUNY Fredonia defines key terms related to faculty and professional performance and the criteria for evaluation;
- To clarify for term faculty and professional staff the documentation needed for personnel reviews;

⁶ Members of the FPAC Faculty Subcommittee were Rob Deemer (Chair), Ray Belliotti, Ann Carden, Michael Jabot, Adrienne McCormick, Samantha Kenney, Beez Schell, John Staples, and Kim Tillery. Members of the FPAC Professionals Subcommittee were Christopher Taverna (Chair), Shari Miller, Beez Schell, Idalia Torres, and Jefferson Westwood. Members of the FPAC Librarians Subcommittee were Barbara Kittle (Chair), Darryl Coleman, Jeremy Linen, and Beez Schell

- To clarify for term faculty and professional staff the career timetable for personnel reviews and the annual/periodic reviews that lead to continuing appointment and permanent appointment;
- To clarify for academic departments⁷, library, and administrative units the processes and policies for conducting personnel reviews;
- To provide, where possible, institutional consistency in processes and policies so that each term faculty and professional staff member, regardless of department or unit, is afforded the same rights and opportunities for fair review;
- To provide a framework to guide the library, academic departments, and administrative units in reviewing and revising the personnel review policies in their department/unit handbooks.

These policies outline the way SUNY Fredonia rewards and retains its valued teacher-scholars and professionals, sustains excellence in teaching, scholarship, and service, and ensures the intellectual vitality of the university. These policies provide clear, equitable, and transparent processes so that individuals, departments, library, and colleges are aware of expectations and standards for reappointment, continuing appointment, and promotion.

These policies are intended to ensure these principles:

- Equity: the policies will be used to evaluate all individuals eligible for reappointment, continuing appointment, and promotion, regardless of department, unit, or college affiliation.
- Transparency: this policy and any subsequent revisions will be publicly available and reviewed by all new faculty and professional staff.
- Non-bias: In all cases, reappointment, continuing appointment, and promotion reviews and decisions will be made without regard to race, religion, gender, gender identity, age, disability, political beliefs, sexual orientation, national origin, personal relationships, and other potential bases for overt or covert discrimination. All evaluations will be based on objective information, evidence supplied by the candidate, and observations of peers.
- Ongoing contributions: It is assumed that those who are granted continuing appointment and promotion will continue to make substantial contributions to their profession, department, college, SUNY Fredonia, and the community.
- Appeal: All individuals have the right to appeal reappointment, continuing appointment, and promotion decisions and to correct errors of fact in evaluation.

⁷ In this document, the term “department” refers to the local academic unit, which includes the School of Music as an academic unit. The School of Business is comparable to a college in its structure, with two departments reporting to a Dean.

III: Relationship of These Policies with Other Policies

It is campus policy that each academic department or administrative unit has written guidelines detailing local procedure for personnel reviews. These guidelines shall be distributed within the department or unit, available on the department or unit website, and available on the Human Resources website. They must also be on file in the appropriate supervisor or Dean's office as well as the office of the appropriate Vice President.

The personnel review policies of the library, academic departments and units, and administrative units should supplement the institutional policies in this document, providing specific details about how the general terms included here apply within a specific discipline and unit culture. Because each unit has a unique identity, goals, and values, these policies encourage flexibility in personnel review processes. However, to be consistent with institutional policies, department/unit handbooks and policies are likely to need some revision and updating to be consistent with this document; where conflicts exist between these institutional policies and current departmental/unit policies, the University Personnel Committee (see section V.F.) will review the discrepancies and make recommendations to the department and Vice President for Academic Affairs either for revisions to the departmental policy or for granting an exception to the university policy.

This policy is not intended to limit options provided by or supersede existing state-wide documents including, but not limited to, the Policies of the SUNY Board of Trustees, the Agreement between the State of New York and United University Professions, and the UUP Family Leave Compendium.

IV: The Goals of Personnel Review

SUNY Fredonia engages in careful, rigorous, and fair processes of personnel review so that term faculty and professional staff have clear ideas of their roles and responsibilities, several opportunities to demonstrate the ways their contributions benefit their department, unit, library, and the campus, and several opportunities for feedback at multiple levels. Effective personnel review also ensures that term faculty who are granted continuing appointment (the SUNY term for *tenure*)⁸ and term professionals who are granted permanent appointment meet the standards of their departments/units and show promise of continued effective contributions to the educational, scholarly/creative, community engagement, and operational missions of SUNY Fredonia. The continuing strength of academic programs and institutional effectiveness depends in large part on careful review of those entrusted with implementing the university mission.

⁸ The terms “continuing appointment” and “tenure” are used interchangeably throughout this document.

V: Review of Term (Tenure-Track) Department/School Faculty⁹

V.A. Career Timelines for Faculty Reviews

V.A.1. Regular timeline for reappointments leading to continuing appointment

Consistent with the *Policies of the Board of Trustees of the State University of New York* reappointment reviews for a ten-month term Assistant Professor occur according to this timeline:

<i>Year of service</i>	<i>Review for</i>
1 st	2 nd -year reappointment
2 nd	3 rd -and 4 th -year reappointment
3 rd	5 th - and 6 th -year reappointment
5 th	7 th -year reappointment
6 th	Continuing Appointment (takes effect at the start of 8 th year)

In the 2nd and 3rd year, departments reserve the right to reappoint candidates to a one-year term, instead of two years, as a means of providing further guidance to the candidate.

⁹ This section of the policies clarifies review for term faculty in academic departments and the School of Music. Section VI focuses on review for term library faculty.

If a term faculty member is initially appointed by SUNY Fredonia as Associate Professor, this timeline for reviews is in effect:

<i>Year of service</i>	<i>Review for</i>
1 st	2 nd - and 3 rd -year reappointment
2 nd	Continuing Appointment (takes effect at the beginning of 4 th year)

V.A.2. Timeline based on Prior Service Credit

According to the *Policies of the Board of Trustees of the State University of New York*, term faculty may request up to three years of credit toward review for continuing appointment, based on prior service in a tenure-track position at another institution (see *Policies XI.B.3.d*). Within one month of the initial appointment, eligible term faculty may request Prior Service Credit by submitting a completed form (<http://www.fredonia.edu/humanresources/forms/servicecredit.pdf>) to the office of the Vice President for Academic Affairs. Once eligibility is confirmed by the Human Resources office, the Vice President for Academic Affairs notifies faculty of approval of 1-3 years Prior Service Credit. As an example, with two years of Prior Service Credit, the regular timeline would be adjusted to reflect continuing appointment review in two fewer years:

<i>Year of service</i>	<i>Review for</i>
1 st	2 nd year reappointment
2 nd	3 rd and 4 th year reappointment
3 rd	5 th year reappointment
4 th	Continuing Appointment (takes effect at start of 6 th year)

V.A.3. Regular timeline for promotion to Associate Professor

Normally review for continuing appointment and promotion to Associate Professor occurs at the same time, in the 6th year of appointment. Although continuing appointment is granted beginning with the 8th year of service, promotion to the rank of Associate Professor is in effect at the beginning of the 7th year. In rare circumstances, continuing appointment may be granted without promotion.

V.A.4. Regular timeline for promotion to Professor

Review for promotion to Professor may occur 5 or more years after the rank of Associate Professor was attained. For example, if promotion to Associate Professor took effect on September 1, 2010, review for promotion to Professor could occur as early as September 1, 2015. If granted, promotion would take effect September 1 of the following year.

V.A.5. Early review for continuing appointment or promotion in rank

Only in exceptional cases will application for early continuing appointment or early promotion be considered. See the expectations for early continuing appointment and promotion in section V.G.6. In such cases, the review would normally occur no more than one full year early.

V.B. Modified Reappointment Timeline

The university recognizes the need for all tenure track faculty members to balance the commitments of family and work. Special circumstances can cause substantial alterations to one's daily routine, thus creating a need to pause the tenure clock, fulfill an alternative work assignment, and/or create a flexible schedule for a period of time.

Tenure track faculty members have several options they may pursue when such circumstances arise. New York State law, the Policies of the SUNY Board of Trustees, the UUP Agreement, and

the federal Family and Medical Leave Act (FMLA) all provide options for faculty members to pursue paid leave (through accruals), unpaid leave, and/or an adjustment of the professional obligation to gain flexibility.

V.B.1. Pausing the Tenure Clock (reducing research and/or service expectations for a period of time):

V.B.1.a. When a faculty member is granted a pause in the tenure clock, that faculty member is not expected to be working on scholarly or creative activities, nor on performing service activities, during the period of time in which the tenure clock is paused. The faculty member is expected to maintain normal teaching responsibilities, unless he or she has also been granted an adjustment to the professional obligations or unless other arrangements have been made.

V.B.1.b. Tenure track faculty members have the option to request a pause of the tenure clock, either in conjunction with or separate from a request for an adjustment of the professional obligation, or leave granted pursuant to other provisions of the *Policies of the Board of Trustees*. A pause of the tenure clock must be applied for and granted without regard to leave or adjusted workload. The decision by the University to grant a pause of the tenure clock will be separate from any decision regarding proposed adjustments to the professional obligation, or grant of leave. Tenure track faculty members may request that the tenure clock be paused for a period of time when any of the following circumstances would seriously impair the faculty member's capacity to build the record of accomplishment he or she judges appropriate for professional satisfaction and tenure review:

- i. Physical or mental illness or other physical condition
- ii. Pregnancy, adoption or foster child placement
- iii. Substantial care giver responsibility for someone with whom the tenure track faculty member has an important relationship, including family and household, and including care giver support for a partner who has given birth
- iv. Military service or obligations for self or partner
- v. Legal concerns, including but not limited to the settling of estates or the processing of divorce, custody deliberations or disputes, or civil suits or the defense of felony criminal charges
- vi. Pursuit of an advanced degree
- vii. Leave for Title F (Other leaves) or grant-related work

V.B.1.c. The above list of circumstances is not intended to be exhaustive, but instead is intended to be illustrative in nature. This policy recognizes that a variety of circumstances and conditions can occur that would make it beneficial to the faculty member and the University to

pause the tenure clock temporarily. Pursuant to this policy, the University will agree to pause the tenure clock in semester or academic year increments.

V.B.1.d. Application for a pause of the tenure clock will be made by the individual faculty member to the Chair or Director of the academic unit and the Dean, using the Pausing the Tenure Clock¹⁰ form available from HR. The Dean will recommend to the Vice President for Academic Affairs.

V.B.1.e. During a pause in the tenure clock, the faculty member is not reviewed. When the clock restarts, the faculty member picks up where he or she left off. A pause of the tenure clock will not be counted against candidates when they resume the reappointment process. Candidates who are granted such requests are not expected to produce more work commensurate to the additional time that will accrue in their total time in appointment as a tenure-track faculty member. Candidates for continuing appointment will be evaluated on equal terms with candidates who had no need to pause the tenure clock. Evidence of teaching effectiveness during the period of the paused tenure clock may be used in the subsequent reappointment dossiers, and any scholarly/creative activity that may have come to fruition during the period is likewise eligible for inclusion in subsequent dossiers. For example, something in the pipeline before the tenure clock was paused may appear in print during a pause in the tenure clock. Any such work counts for reappointment, continuing appointment, and promotion.

V.B.1.f. *Individual academic units must include sections in their Department/Unit handbooks and personnel guidelines clarifying to individuals within those units as well as to personnel committees within those units the procedures to be followed in assuring that faculty who pause the tenure clock temporarily are not penalized for doing so.*

V.B.1.g. Current practice under the Policies of the Board of Trustees allows two mechanisms for pausing the tenure clock: moving the individual from academic rank to qualified academic rank, or decreasing the individual's status to part-time (e.g. 99%). In either case, individuals must get assurance in writing from the administration that they will be moved back to academic rank or full-time status after the period of time during which the tenure clock is paused.

V.B.1.h. If the Department Chair or Unit Director does not support a request for a pause in the tenure clock, the reasons for recommending against the pause shall be provided in writing within one week to the Dean. The Dean then recommends to the VPAA a decision on the specific request.

V.B.1.i. Candidates whose requests for a pause in the tenure clock are not recommended by the Department Chair or Unit Director and denied by the Dean may appeal to the VPAA.

¹⁰ A draft of the Pausing the Tenure Clock form is not yet available, but models will be supplied to HR.

V.B.1.j. Candidates who are not being reappointed may not petition for a pause in their tenure clock.

V.B.2. Adjustments to the Professional Obligation

Faculty who need flexibility in balancing their work schedules while on the tenure track may also apply for an adjustment to their professional obligation. Procedures for adjustments are available from the Human Resources Office. An adjustment to the professional obligation does not affect the timeline for reappointment. Such adjustments include a full-time work equivalent and thus do not involve a reduction in pay.

V.B.3. Voluntary Reduction in Work Schedule (VRWS)¹¹

Under the VRWS program, an employee can defer a portion of earned income from the period it was actually earned to a period of time the employee would otherwise be on a scheduled unpaid leave. In other words, VRWS is a program that allows employees to voluntarily trade income for time off. This program can help with, but is not limited to, planned family care events such as birth, adoption, family members' surgery or other medical reasons. This can work in different ways. Faculty can take a pay reduction concurrently with time off, or take a pay reduction for a period of time while working and receive the withheld pay during a later period that would ordinarily be an unpaid leave. The latter allows an employee to spread out the financial burden. As the employee does not have to come off the payroll, this program also helps avoid loss of health insurance that occurs for an unpaid leave beyond the 12 weeks covered by the Family and Medical Leave Act (FMLA).

V.B.4. Family and Medical Leave Act (FMLA)

For details on utilizing the Family and Medical Leave Act, faculty should contact the Human Resources office. Such leave does not automatically lead to a pause in the tenure clock. Faculty should consult with Chairs or Directors and Deans on combining a pause in the tenure clock

¹¹ <http://www.uupinfo.org/VRWS.pdf>. See also the Labor Education and Resource Network. <http://www.learnworkfamily.org/cases/uup.html>.

with FMLA leave. Invoking FMLA even for paid as well as unpaid leaves is advisable due to the antidiscrimination and job protection provisions in the legislation.

V.C. Annual Timelines for Faculty Reviews for Reappointment, Continuing Appointment, and Promotion

Each July, the Vice President for Academic Affairs publishes the Academic Affairs calendar for the upcoming year. The calendar includes the following timelines for review of term faculty beyond the first year (for review of first-year faculty, see section V.D.).

V.C.1. Timeline for reviews in the second, third, and fifth years of appointment

October 1:	Candidate submits dossier to Department
October 15:	If applicable, Departmental Personnel Committee submits recommendation and dossier to Department Chair and candidate
October 22:	If applicable, deadline for candidate to submit letter of appeal to Department Chair
November 1:	Department Chair submits recommendation and dossier to Dean and candidate
December 1:	Deadline for letters of appeal to be delivered to Dean
December 15:	Dean submits recommendation and dossier to Vice President for Academic Affairs and candidate
January 15:	Deadline for letters of appeal to be delivered to the Vice President for Academic Affairs and the Chair of the University Personnel Committee
February 10:	Deadline for University Personnel Committee to give recommendations for appeals to the Vice President for Academic Affairs and candidate
March 1:	Vice President for Academic Affairs submits recommendation and dossier to President and candidate
April 1:	President notifies candidate of reappointment decision

In addition to candidates who have chosen to be grandfathered under the old policy, candidates receiving one-year appointments in the fall of their second and/or third years will resubmit their dossier in the spring and be considered for further reappointment using the following timeline:

- January 15: Candidate submits dossier to Department
- February 1: If applicable, Departmental Personnel Committee submits recommendation and dossier to Department Chair and candidate
- February 7: If applicable, deadline for candidate to submit letter of appeal to Department Chair
- February 19: Department submits recommendation and dossier to Dean and candidate
- March 1: Deadline for letters of appeal to be delivered to Dean
- March 12: Dean submits recommendation and dossier to Vice President for Academic Affairs and candidate
- March 22: Deadline for letters of appeal to be delivered to the Vice President for Academic Affairs and the Chair of the University Personnel Committee
- April 2: Deadline for University Personnel Committee to give recommendations for appeals to the Vice President for Academic Affairs and candidate
- April 12: Vice President for Academic Affairs submits recommendation and dossier to President and candidate
- April 30: President notifies candidate of reappointment decision

V.C.2. Timeline for continuing appointment and promotion reviews

October 1:	Candidate submits dossier to Department
October 15:	If applicable, Departmental Personnel Committee submits recommendation and dossier to Department Chair and candidate
October 22:	If applicable, deadline for candidate to submit letter of appeal to Department Chair
November 1:	Department Chair submits recommendation and dossier to Dean and candidate
December 1:	Deadline for letters of appeal to be delivered to Dean
December 15:	Dean submits recommendation and dossier to Vice President for Academic Affairs and candidate
January 15:	Deadline for letters of appeals to be delivered to the Vice President for Academic Affairs and the Chair of the University Personnel Committee
February 10:	Deadline for University Personnel Committee to give recommendations for appeals to the Vice President for Academic Affairs and candidate
March 15:	Vice President for Academic Affairs submits recommendation and dossier to President and candidate
May 15:	President notifies candidate of promotion decision and submits continuing appointment recommendation to the Chancellor of the State University of New York
Summer:	Chancellor notifies candidate of continuing appointment decision

V.D. Process and Documentation for First-year Review

V.D.1. Process for first-year faculty (including faculty with or anticipating prior service credit)

V.D.1.a. By December 1, the first-year faculty member submits a 2-3 page Reappointment Statement and an updated *curriculum vitae* to the Department. The Reappointment Statement should address the following questions:

- What experiences, credentials, and scholarly/creative interests will be especially helpful as you define and continue in your role in your Department?
- What will you be doing in the next year to continue to develop as an instructor and advisor?
- What scholarly/creative activities are you planning for the next year? How do these activities fit into your goals for establishing a record of scholarship/creative activity that will lead to continuing appointment?
- In what service roles—such as committees, curriculum, and assessment—do you see yourself making the greatest contributions?

V.D.1.b. At the beginning of the following fall semester—the beginning of the second year of appointment—the faculty member begins to follow the timeline outlined in section V.C.1., submitting a full dossier to the Department. Because this dossier provides an overview of accomplishments in the first year, throughout the academic year the first-year faculty member should collect materials that show what is being done in teaching, scholarship/creative activity, service, and professional development.

V.D.1.c. Whereas candidates in their first year may share, at their discretion, any such materials they are collecting for the review that begins in October of their second year, the only materials the department may use during the first year review are the updated *curriculum vitae* and Reappointment Statement.

V.D.1.d. Throughout the first academic year the candidate should look for opportunities to refine the plan set out in the Reappointment Statement. The candidate should meet with the Department Chair and her/his mentor to discuss a professional development plan, seek peer review of courses, and seek professional development opportunities on campus and in the discipline.

V.D.2. Process for Chairs and Departments

V.D.2.a. The Department should review the Reappointment Statement and submit a recommendation for second-year reappointment to the Dean by January 15. Reviewing a Reappointment Statement differs from reviewing a full dossier in that the questions shift from evaluating evidence to providing feedback on a new faculty member's plan for professional development. In the following fall there will be an opportunity to review the full dossier of activities and accomplishments in the current academic year, so there is no need to look at an incomplete body of evidence for the current Fall.

V.D.2.b. These are the questions that the Department might consider in reviewing the Reappointment Statement:

- How might the experiences, credentials, and scholarly/creative interests of this first-year faculty member be valuable to the department and campus?
- What comments and advice do you have about the first-year faculty member's plan for developing as an instructor and advisor?
- What comments and advice do you have about the first-year faculty member's plan for scholarship/creative activity?
- What mentors or resources would be valuable for this first-year faculty member to know about?

V.D.2.c. The department's review should focus on providing feedback to the candidate's professional development plan; therefore, the department may require revisions to the candidate's updated curriculum vitae and Reappointment Statement, but should not preempt the normal evaluative review that begins in October of the candidate's second year.

V.D.2.d. After departmental review, a first-year faculty member should meet with his or her Chair to discuss his/her professional development plans. This is an opportunity for conversation about the reappointment statement and elaboration of suggestions and advice that should be in the Chair's letter of recommendation.

V.E. Process for Evaluating Faculty for Reappointment, Continuing Appointment, and Promotion

V.E.1. Review by the Department

Departmental Personnel Policies shall define the degree of involvement of faculty of all ranks in personnel review processes. It is desirable that the review of faculty for reappointment, continuing appointment, and promotion should involve input from multiple perspectives, including from tenure-track faculty.

V.E.1.a. Criteria for Department Policies. The process for eliciting input—including whether evaluations are written by individuals or discussed and then summarized by the Departmental Personnel Committee (DPC)—shall be clearly addressed in the policies. Policies shall clearly identify acceptable criteria appropriate to the department, expectations for documentation, and dossier content. Policies shall also address whether a meeting between the candidate and the DPC is required or optional before the committee’s recommendation is made.

Individual academic units must include sections in their Department/Unit handbooks and personnel policies clarifying to individuals and to personnel committees within those units the procedures for evaluating faculty who are granted modified duties or modified course offerings, assuring that such procedures do not penalize faculty who pursue these workload options.

Department/Unit handbooks and personnel policies must create timelines that allow for a reasonable amount of time (no less than two weeks) between the applicant’s receipt of the recommendation of the DPC and the deadline for the recommendation of the department head.

All written reports produced at the department level (DPC and/or Chair) become part of the review process and are forwarded to subsequent levels of review.

V.E.1.b. Departmental Personnel Committee. The structure, function and authority of the Departmental Personnel Committee shall be defined in the Departmental Personnel Policies. Included within these policies, the departments shall address: the eligibility of non-tenured faculty/professionals to serve on the DPC; the eligibility of DPC members of lower rank than the candidate under review to participate in the assessment of the candidate’s application

for reappointment/continuing appointment/promotion; the eligibility of DPC members of lower rank than the candidate under review to vote on the candidate's application for reappointment/continuing appointment/promotion, and the eligibility of the department Chair to be a member of the DPC. As stated in section V.C.1, the DPC recommendation shall be handed into the chair by October 15 (or February 1 in the old schedule) in order to allow for the applicant to submit their appeals.

In reviews for continuing appointment or promotion, either the candidate or the DPC may request that the opinion of an external reviewer be obtained, either from a different SUNY Fredonia department or unit, or from outside of SUNY Fredonia. In such a case the initiator of the request will make the request in writing to the Dean, who will consult with all affected parties in choosing the external reviewer.

If there are fewer than three faculty members eligible under the Departmental Personnel Policy to constitute a Departmental Personnel Committee, additional faculty from outside the department will be appointed by the Dean, in collaboration with and the approval of the Chair and faculty.

V.E.1.c. Chair's recommendation to the Dean. Departmental Personnel Policies shall define the relationship between the DPC's recommendation to the Chair and the Chair's recommendation to the Dean. Specifically, Departmental Personnel Policies shall address whether the Chair's recommendation to the Dean may differ from the DPC's recommendation to the Chair, and whether the Chair has the authority to issue a separate letter to the Dean when his/her recommendation differs from that of the DPC.

If Departmental Personnel Policy permits the Chair to submit to the Dean a recommendation that differs from that of the DPC, the candidate, the Dean, and the DPC must be simultaneously provided with copies of both the Chair's recommendation to the Dean, and the DPC's recommendation to the Chair.

The DPC's recommendation to the Chair, and the Chair's recommendation to the Dean, are memorandums or letters identifying the faculty candidate by current rank and year of service. The letters provide clear recommendations for or against reappointment, continuing appointment, or promotion.

V.E.1.d. Appeal of departmental and/or Chair's recommendation. A candidate has the right to appeal the recommendation of the DPC to the Chair (where the Chair's recommendation is distinct from that of the DPC). A letter of appeal should be submitted at

least one week before the Chair's deadline for recommending to the Dean. The candidate should send a copy of the appeal letter to the Department Personnel Committee Chair.

A candidate has the right to appeal the recommendation of the Chair to the Dean. A letter of appeal should be submitted by December 1. The candidate should send a copy of the appeal letter to the Department Chair and to the Department Personnel Committee.

V.E.2. Review by the Dean

The Dean's review of faculty for reappointment, continuing appointment, and promotion should be based on all materials submitted for that personnel review: the dossier, materials from the Personnel Committee, any written evaluations by individuals or groups within the department, recommendation from the Chair, and appeal letter (if one is submitted).

V.E.2.a. Dean's recommendation to the Vice President for Academic Affairs.

The Dean's recommendation is a memorandum or letter, addressed to the Vice President for Academic Affairs, identifying the faculty candidate by current rank and year of service. The letter provides a clear recommendation for or against reappointment, continuing appointment, or promotion, based on the Dean's review of the materials in the dossier and evaluation materials submitted by the department. A copy of this recommendation is simultaneously sent to the faculty candidate and to the Department Chair.

V.E.2.b. Appeal of Dean's recommendation. If the candidate wishes to correct an error or make a comment about the Dean's recommendation, he/she should write a letter of appeal to the Vice President for Academic Affairs and the chair of the University Personnel Committee. This letter should be submitted according to the reappointment calendar (see sections V.C.1 and V.C.2). The candidate should send a copy of the appeal letter to the Department Chair and to the Dean.

V.E.3. Review by the Vice President for Academic Affairs

The Vice President's review of faculty for reappointment, continuing appointment, and promotion is based on evaluation of the dossier and all materials submitted in previous levels of review.

V.E.3.a. Vice President's recommendation to the President of SUNY Fredonia.

The Vice President's recommendation is a memorandum or letter addressed to the President,

identifying the faculty candidate by current rank and year of service. The letter provides a clear recommendation for or against reappointment, continuing appointment, and/or promotion, based on the Vice President's review of the dossier and all submitted evaluations and recommendations. A copy of this recommendation is sent to the faculty candidate, Department Chair, Dean, and Director of Human Resources.

V.E.3.b. Appeal of the Vice President's recommendation. If the candidate wishes to correct an error or make a comment about the Vice President's recommendation, he/she should write a letter of appeal to the President. This letter should be submitted at least one week before the Vice President's deadline for notifying faculty or recommending to the Chancellor (see sections V.C.1 and V.C.2). The candidate should send a copy of the appeal letter to the Department Chair, Dean, and Vice President for Academic Affairs.

V.E.4. Review by the SUNY Fredonia President

The President's review of faculty for reappointment, continuing appointment, and promotion is based on evaluation of the dossier and all materials submitted in previous levels of review. In the case of reappointment, the President notifies faculty of the campus decision to end the process for that academic year. For continuing appointment and promotion, the President sends a recommendation to the Chancellor of the State University of New York and sends a copy to the faculty candidate, Department Chair, Dean, Vice President for Academic Affairs, and Director of Human Resources.

V.E.5. Response from the Chancellor of the State University of New York

In the summer following the recommendation from the President of SUNY Fredonia, the Chancellor notifies the faculty candidate of his/her decision about continuing appointment and/or promotion.

V.F. University Personnel Committee

As was mentioned previously in Section II, two of the principles that these policies intend to ensure are the concepts of broad-based review and appeal, with the intention that the former would reduce the need for the latter. Both of these concepts are to be achieved through the creation of a University Personnel Committee (UPC).

V.F.1. University Personnel Committee

V.F.1.a. Selection of the University Personnel Committee. The UPC is elected from the faculty at the rank of Associate Professor/Librarian or above at SUNY Fredonia under the Advisory Committee Election guidelines as outlined in the Fredonia University Senate Bylaws.

V.F.1.b. Composition of the University Personnel Committee. The Committee shall have a total of eleven representatives: one each from the colleges of Arts, Humanities, Natural Sciences, Social Sciences, and Education as well as the Schools of Business, and Music; one from Reed Library, one elected from the University Senate. There shall be two non-voting members: one appointed by the Vice President of Academic Affairs and one appointed by the President of the Fredonia chapter of UUP; these appointees shall act as liaisons for their respective areas. A chair of the committee will be selected by the members of the committee and will be an ex-officio (non-voting) member with the exception of breaking a tie vote.

V.F.1.c. Responsibilities of the University Personnel Committee. The UPC is responsible for reviewing departmental personnel policies in order to ensure consistent treatment of faculty applying for reappointment, continuing appointment and promotion and acting as an appeals body when circumstances in a reappointment, tenure or promotion procedure require such a review.

V.F.2. Review Process

Departmental Personnel Policies are the most important document in the tenure-track faculty member's reappointment and tenure process; each candidate must adhere to his or her own department's personnel policy in order to achieve continuing appointment and promotion, and University administration must interpret each candidate's application and dossier through the lens of the department's policy. Therefore, the need for departmental personnel policies to be clear, thorough and easily accessible is tantamount. To this end, the UPC is charged with periodically reviewing each department's personnel policies and, when necessary, making recommendations to the Dean, or in the case of the Librarians the Chair of the Library Faculty, that would support a consistent sense of process and procedure across campus while allowing each department the latitude to form its own policies meeting departmental needs.

V.F.2.a. Initial Review Process. In the first year after the UPC has been formed, collection and analysis of personnel policies from all departments at SUNY Fredonia will take place. The Initial Review will allow the UPC to gain an overall picture of the various policies from throughout the departments on campus and more accurately interpret each policy.

V.F.2.b. Ongoing Review Process. The UPC will review department personnel policies on a five-year rotation. This rotation will occur the year before each department's five-year review; departments that do not take part in five-year reviews will be scheduled on a recurring five-year schedule by the UPC. Each policy will be analyzed and interpreted in relation to the University Personnel Policy guidelines; while many guidelines are not mandatory and departments have a good amount of flexibility to form their own personnel policies, those policies cannot contradict the policies listed in the University Personnel Policies nor can academic units include additional criteria for reappointment, tenure or promotion beyond those listed in the University Personnel Policies. Once the UPC has examined the departmental policies, it will submit its findings, along with any recommendations, to the Dean and each department's Chair, or in the case of the Librarians the Library Faculty Chair, by January 15. This will allow for any discrepancies to be addressed and any changes to be made by the end of the school year.

V.F.3. Appeals Process

An applicant may decide to appeal the recommendation in a reappointment application by the Dean or Library Director. Similarly, a department may decide to appeal the recommendation of the Dean or Library Director in a reappointment application if it overturns the department's recommendation. In these cases, applicants or departments may file an appeal with the UPC. This appeals process is based on whether the Departmental Policies were followed. Inspection of the individual candidate's qualifications will not be examined, but rather whether procedure was followed as determined by departmental policy.

V.F.3.a. Deadlines. Letters of Appeal must be filed with the Vice President for Academic Affairs and the Chair of the UPC by the deadline listed in the Reappointment Calendar (either January 15 or March 22, depending on which calendar the applicant is working under). The candidate should send a copy of the appeal letter to the Department Chair and the Dean. The UPC shall be required to submit its recommendation to the Vice President for Academic Affairs by the deadline listed in the Reappointment Calendar (February 10 or April 2).

V.F.3.b. Appeals Letters. An appeal shall consist of a letter including a narrative of the process and a brief list of reasons for the appeal.

V.F.3.c. Appeals Process. When the committee convenes the appeals process, all materials, including dossier, letters of recommendation and letter of appeal shall be provided to the UPC. The UPC shall be free to interview any and all pertinent individuals and groups that might assist in the appeal investigation. Once the process is complete, a letter outlining the UPC's recommendation along with the individual, unsigned ballots are sent to the VPAA.

V.F.3.d. Recusals. When there is a member on the UPC from the same department as a faculty member under review, that committee member recuses him/herself from the evaluation of that faculty member.

V.F.4. Annual Report

At the end of each academic year, the University Personnel Committee will provide an annual report to the University Senate Executive Committee. This report will outline all of the committee's activities throughout the year, including department policy reviews and any faculty tenure appeals.

V.G. Criteria for Evaluating Faculty

Faculty are evaluated based on the criteria outlined in the *Policies of the Board of Trustees of the State University of New York*. In addition, these policies identify specific interpretations of these criteria at SUNY Fredonia, based on institutional mission, commitments, and priorities. Department policies shall provide further specificity for faculty.

V.G.1. Criteria for faculty of the State University of New York

V.G.1.a. Mastery of subject matter. The *Policies* define mastery of subject matter "as demonstrated by such things as advanced degrees, licenses, honors, awards and reputation in the subject matter field" (see *Policies* XII.A.4.a). Generally, mastery of subject matter is evaluated as a condition for hiring in a term position.

V.G.1.b. Effectiveness in teaching. The *Policies* define effectiveness in teaching "as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses and student reaction, as determined from surveys, interviews and classroom observation" (see *Policies* XII.A.4.b).

V.G.1.c. Scholarly ability. The *Policies* define scholarly ability "as demonstrated by such things as success in developing and carrying out significant research work in the subject matter field, contribution to the arts, publications and reputation among colleagues" (see *Policies* XII.A.4.c).

V.G.1.d. Effectiveness of University service. The *Policies* define effectiveness of University service "as demonstrated by such things as college and University public service,

committee work, administrative work and work with students or community in addition to formal teacher-student relationships” (see *Policies XII.A.4.d*).

V.G.1.e. Continuing growth. The *Policies* define continuing growth “as demonstrated by such things as reading, research or other activities to keep abreast of current developments in the academic employee’s fields and being able to handle successfully increased responsibility” (see *Policies XII.A.4.e*).

V.G.2. Criteria for Faculty of SUNY Fredonia

The criteria for faculty review at SUNY Fredonia are based on those in the *Policies of the Board of Trustees of the State University of New York*, as well as the institutional interpretations, commitments, and priorities defined in the sections below. Faculty are evaluated primarily in the areas of teaching, scholarship/creative activity, and service, with an understanding that continued mastery of subject matter and continuing growth occur in each of these areas. All areas are to be taken into consideration in all evaluations.

V.G.2.a. SUNY Fredonia statement on effectiveness in teaching. Teaching is the direct educational involvement with students inside and outside the classroom, in virtual learning environments, in advising, and in the activities that enhance learning. Strong teaching also involves scholarly inquiry about one’s practices, knowledge of the curriculum and student learning, attention to course design, and assessment of student learning outcomes. Aspects of teaching may include a variety of activities such as these:

- classroom/studio/laboratory/online instruction
- supervision of student research and creative activity
- academic advising
- supervision of independent study, clinical practice, service learning projects, field experiences, and internships
- course design, management, and organization
- professional development, which allows faculty to stay current in the discipline and in pedagogy
- curriculum development and review
- development of new modes of instruction such as the integration of technology in the classroom and online learning tools for instruction
- collaboration and contribution to the curriculum integrity of a program

Gathering and evaluating evidence of teaching effectiveness should be a routine part of a faculty member's approach to teaching. No single source of information is an adequate assessment of teaching and learning. These are some of the most typical sources of information about effective teaching and learning:

- peer review, which may be based on classroom/studio/laboratory/advising observation or review of teaching portfolios, graded student work, or other course artifacts
- critical narrative reflection on aspects of one's own teaching
- high academic standards in evaluation of student learning, examples of syllabi, and other instructional material, such as paper or project assignments
- curriculum integrity as evidenced by the alignment of course intended learning outcomes and course assessments across the program
- course evaluations completed by students
- quality of students' scholarly and creative work
- new course and curriculum development
- innovations in pedagogy
- participation in professional development activities related to pedagogy and instructional technology
- quality of undergraduate and graduate advising

V.G.2.b. SUNY Fredonia statement on scholarly ability. SUNY Fredonia departments shall define scholarship based upon Policies of the Board of Trustees of the State University of New York, the standards of their discipline, the requirements of their professional and certifying associations, the mission of the University, and their specific role in the University. Given the broad array of scholarly activities at SUNY Fredonia, departments are allowed to define scholarship broadly, and interdisciplinary approaches are valued. For the purposes of evaluation, a faculty member may demonstrate evidence of the scholarship of discovery, teaching, integration, application, and/or engagement.¹²

- The *scholarship of discovery* involves the investigation and search for new information, knowledge, theory, and artistic or creative design.
- The *scholarship of teaching* includes those activities that expand the knowledge, skills, and abilities of others and make public these activities in order to inform a larger community of teachers. This involves strategies to transmit knowledge that engages, challenges, and actively involves students in order to enhance learning.
- The *scholarship of integration* involves creating connections across disciplines in order to expand and extend knowledge to a larger audience. This may include interdisciplinary connections between the arts, humanities, natural sciences, social sciences, and education.
- The *scholarship of application* involves using a scholar's expertise to help solve problems in and around the university community. Often times, the social issue and/or social institutions define the program for investigation. Such scholarship asks, "How can knowledge be responsibly applied to consequential problems? How can it be helpful to individuals as well as institutions?" (Boyer 1990:22). Boyer also notes that in the scholarship of application, scholars are not simply applying knowledge that was previously discovered. Rather, "new intellectual understandings can arise out of the very act of application...theory and practice vitally interact and one renews the other" (23).
- The *scholarship of engagement* means "connecting the rich resources of the university to our most pressing social, civic, and ethical problems, to our children, to our schools, to our teachers, and to our cities"¹³ (Boyer, 1996). Engaged scholarship requires reciprocal and collaborative knowledge production. While it overlaps with the scholarship of application in addressing problem solving in communities, it differs in

¹² These categories stem from the research of Ernest L. Boyer in *Scholarship Reconsidered: Priorities of the Professoriate*, New York: The Carnegie Foundation for the Advancement of Teaching, 1990. See also R. Eugene Rice, *Making a Place for the New American Scholar*, Washington, D.C.: American Association for Higher Education, 1996; Charles E. Glassick, Mary Taylor Huber, and Gene E. Maeroff, *Scholarship Assessed: Evaluation of the Professoriate*, The Carnegie Foundation for the Advancement of Teaching, 1997; and R. M. Diamond, *Aligning Faculty Rewards with Institutional Mission: Statements, Policies, and Guidelines*. Boston, Mass.: Anker, 1999.

¹³ Ernest Boyer. "The Scholarship of Engagement." *Journal of Public Outreach* 1.1 (1996): 11-20.

structure. Service-learning initiatives and community-based collaborative research are forms of engaged scholarship.

Over the course of an academic career, faculty may engage in activities across this broad mosaic. *Academic units may adopt each of these concepts of scholarship in the manner and to the extent appropriate for their disciplines. All academic units shall make clear in their personnel policies and procedures how they assess scholarly activities for purposes of reappointment, continuing appointment, and promotion. Faculty members are responsible for understanding their academic unit's definition of scholarly activities.*

High quality scholarship and creative activity may be evidenced in many ways. Activities may include but are not limited to the following:

Scholarship of discovery:

- artistic exhibitions, performances, and/or readings featuring original work or performances by the faculty member
- refereed publications (books/articles/chapters/essays/reviews)
- publication of creative writing
- musical compositions and recordings
- presentations at scholarly conferences
- organizing and chairing sessions at scholarly conferences
- serving as a respondent at professional conferences
- participation in professional development activities that focus on improving research productivity or quality
- publication of textbooks and other learning resources
- publication of software
- editorships
- publication in proceedings of scholarly meetings
- writing and funding of research grants
- organizing symposia and professional meetings
- grants, fellowships, awards, and residences recognizing scholarly research and/or creative activities

Scholarship of teaching:

- research-based collaboration with colleagues in the P-12 system
- publishing a textbook
- peer reviewed curriculum development
- improving the effectiveness of one's own teaching through peer review
- assessing effectiveness of new learning technologies through peer review
- facilitating student presentations outside of the University (documented by review)
- grant applications for developing and refining pedagogy
- developing educational resources to be used by other educators
- writing reviews of books and textbooks in area(s) of expertise
- presentation in written, oral or electronic form within appropriate venues

Scholarship of integration:

- examples listed under scholarship of discovery, but which pertain to interdisciplinary activities beyond the faculty member's primary area of expertise
- published interdisciplinary curricular materials
- grant applications for interdisciplinary endeavors
- lending research-based professional expertise to interdisciplinary organizations

Scholarship of application:

- presentation of applied research in external venues
- case studies
- outreach initiatives that rely on applied research
- consulting with industry or government or local business initiatives
- solving problems by communicating knowledge to the community

Scholarship of engagement:

- leading research-based collaborative community efforts to solve problems
- creating public information networks
- leading or participating in civic literacy initiatives
- chairing or sitting on a community-based task force that requires scholarly expertise
- grant applications for community efforts and initiatives

V.G.2.c. SUNY Fredonia statement on effectiveness of university service.

Service is defined as those professional activities that aid the department, college, university, profession, or community. Beyond their individual roles in teaching and scholarship/creative activity, the faculty share responsibility for the academic mission of the university and therefore play significant roles in curriculum development, recruitment, assessment, faculty review, accreditation, academic initiatives, and governance. Such valuable efforts are recognized as important aspects of faculty performance.

Departmental, college, and university service may include many kinds of activities, such as these:

- participation on departmental/college/university committees, advisory boards, task forces, or councils (including hiring and personnel committees)
- participation in faculty meetings
- serving as faculty advisor for student organizations
- assisting with recruitment and orientation of new students
- reviewing internal grants and awards
- academic program development
- involvement in campus programming, such as planning special events, organizing workshops, hosting visiting writers/artists/scholars, etc.
- involvement in professional development activities, such as mentoring programs, learning communities, faculty enrichment, etc.

Faculty also lend their expertise to professional and community organizations. In some instances, collaboration with community partners may represent engaged scholarship; in other cases, volunteering one's expertise is valued service. Department guidelines may offer clear examples specific to the discipline.

Professional service activities may include these kinds of activities:

- serving as an officer in a professional organization
- leadership in campus initiatives
- reviewing grants for funding agencies
- refereeing papers or books for a journal or publisher
- refereeing conference papers

Professionally related community service activities—as opposed to the volunteerism that good citizens do—may include these kinds of responsibilities:

- speaking on professional or discipline-based topics to civic, public, business, or professional organizations
- serving in a professional capacity on boards of organizations
- working with colleagues in the P - 12 school system
- organizing or participating in public concerts, exhibitions, productions, readings
- working with groups that promote the understanding of one's discipline within the community
- serving as a consultant (paid or unpaid) to governmental or private groups in need of expert advising

All faculty are expected to contribute to the service workload of the department, college, and university. No amount of professional or public service excuses a faculty member from taking on the tasks that are essential to the academic enterprise.

V.G.3. Weighting of criteria

Teaching, scholarship/creative activity, and service are all important components of a faculty member's professional role. Teaching is of utmost importance at SUNY Fredonia, and good teaching is expected of all faculty. Weighting of these criteria in the evaluation of faculty who pause the tenure clock for a period of time, or pursue modified duties/course offerings/a VRWS option for a period of time, should be commensurate with the particular responsibilities of the faculty member during that period of time. In other words, quality of teaching is still of utmost importance for these candidates, but they should not be penalized for a reduced quantity of courses in a given period of time. Department guidelines offer discipline-specific criteria for teaching, scholarship/creative activity, and service.

V.G.4. Expectations for reappointment

These are the expectations for successful review for reappointment of term faculty:

- Evidence that the candidate is developing into a good teacher
- Evidence that the candidate is sufficiently engaged in and completing professional scholarship/creative activity and planning future scholarship/creative activity
- Evidence that the candidate is sufficiently engaged in appropriate department, university, community, and professional service
- Evidence that the candidate is satisfactorily progressing toward expectations for continuing appointment

V.G.5. Expectations for continuing appointment and promotion to Associate Professor

Continuing appointment and promotion are separate personnel recommendations but are normally granted together. These are the expectations for successful review for continuing appointment and promotion to the senior rank of Associate Professor:

- Evidence that the candidate is a very good teacher
- Evidence that the candidate has continued to be engaged in and completed scholarly/creative activities that have been peer reviewed, adjudicated, or otherwise recognized nationally or internationally by professionals in the discipline.
- Evidence that the candidate has engaged in significant departmental, university, and professional service

V.G.6. Expectations for early continuing appointment and/or promotion

Most faculty are reviewed for continuing appointment and promotion to Associate Professor in the sixth year of appointment (see the regular timeline in section V.A.1). Continuing appointment is granted based on sustained accomplishments across the years of review; it is not awarded as soon as one demonstrates a minimal threshold of achievements. Only cases in which teaching, scholarship/creative activity, and service are all at exceptional levels—i.e., well beyond what would be expected for application for continuing appointment and/or promotion at the normal time—could be considered early. Candidates may apply for early continuing appointment and early promotion to Associate Professor only once. If denied early continuing

appointment and/or promotion, the candidate may apply for the same under the regular reappointment schedule.

V.G.7. Expectations for promotion to Professor

These are the expectations for successful review for promotion to the most senior rank of Professor:

- Evidence that the candidate is a very good and innovative teacher
- Evidence that the candidate has continued to be engaged in professional scholarly/creative activity that have been peer reviewed, adjudicated, or otherwise recognized nationally or internationally by professionals in the discipline.
- Evidence that the candidate has continued to be engaged in significant departmental, university, and professional service, and has taken leadership roles in some of these service activities

V.H. Department Policies

V.H.1. Department guidelines and handbooks

Each department must publish and regularly review its own personnel review policies (see section V.F.2.b.) to supplement these university-level policies with discipline-specific interpretations and expectations for the evaluation of teaching, scholarship/creative activity, and service. Departmental policies must be approved by the Dean and Vice President for Academic Affairs. Candidates appointed to term positions shall be given copies of the departmental personnel guidelines, these SUNY Fredonia policies, and the *Policies of the Board of Trustees of the State University of New York*. Additionally, candidates appointed to term positions shall be informed of the department or academic unit's mentoring process.

V.H.2. Relationship of department guidelines to SUNY and SUNY Fredonia Policies

The departmental policies may offer specific interpretations of terms, criteria, and departmental procedures, but they must be aligned with the policies of SUNY Fredonia and the *Policies of the Board of Trustees of the State University of New York*.

V.I. Documentation for Reappointment, Continuing Appointment, and Promotion¹⁴

Evaluation of term faculty is based primarily on review of the dossier submitted by each faculty member under review. Like all scholarly projects, dossier preparation requires reflection, gathering of appropriate evidence, good writing, and professionalism.

V.I.1. Electronic and print dossier formats

Although SUNY Fredonia may move to all-electronic format for dossiers in the future, the current practice is to submit print dossiers, generally in the form of a three-ring binder with pages divided into sections. Faculty who wish to submit materials electronically—on CD or website—may do so, provided that the department Personnel Committee has approved this format.

V.I.2. General principles of dossier preparation

V.I.2.a. Dossier for reappointment review. The dossier for reappointment review presents narratives and evidence of effectiveness in a particular review period. The dossier should include the accomplishments only of the review period, along with commentary about work in progress and planned work/goals. The dossier for reappointment review presents an argument that assists reviewers in answering the question, “How does this faculty member’s work demonstrate that he/she should be reappointed for another year?”

¹⁴ Some of the concepts and language of this section have been adapted from materials that Virginia Horvath wrote for workshops at other institutions on documentation of faculty work.

V.I.2.b. Dossier for continuing appointment and/or promotion review. The dossier for continuing appointment and/or promotion review presents narratives and evidence of effectiveness over the years from initial appointment (for continuing appointment and promotion to Associate Professor) or since the last promotion (for promotion to Professor). For continuing appointment, the dossier presents an argument that assists reviewers in answering the question, “How does this faculty member’s work across all areas demonstrate that continuing appointment is warranted?” For promotion, the dossier presents an argument that assists reviewers in answering the question, “How does this faculty member’s work demonstrate that he/she has met the requirements for promotion to a more senior academic rank?”

V.I.2.c. Audience of the dossier. Although review of the dossier begins in the department, some readers are from outside the discipline of the faculty candidate. Therefore, the dossier should be written as clearly and specifically as possible for a general academic audience.

V.I.2.d. Organization of the dossier. Each dossier may be presented in slightly different ways, based on the discipline, department guidelines, and faculty candidate’s own style and preferences. The outline in section V.G.3 offers general guidelines for organizing dossiers according to the criteria of the *Policies of the Board of Trustees of the State University of New York* and the broad view of scholarship/creative activity described in these SUNY Fredonia policies.

V.I.2.e. Format of the dossier. A well-prepared dossier shows respect for readers’ time by presenting materials in an organized, professional way. A print dossier should be compact, professional looking, and easy to navigate (room to turn pages, labeled sections, clear cross-reference). Faculty candidates preparing dossiers should assume the same principles that guide their responses to student work or professional writing: stacks of raw data, poorly organized or written documents, or padded/misrepresented files are inappropriate.

V.I.2.f. Time. Preparing a professional dossier requires time for both thinking and assembling materials. Faculty candidates should start the process early and seek feedback and advice from colleagues and mentors.

V.I.3. Content of the dossier

Faculty should prepare the dossier according to this outline and submit all materials to the Department Chair by October 1. This outline and timeline do not apply for faculty in their first year of appointment (see section V.D.).

Information included in reappointment dossiers refers to only what was accomplished since the last review. Dossiers for continuing appointment and/or promotion review include information for all years of appointment at SUNY Fredonia (or for promotion to Professor, since the last promotion). Faculty who paused their tenure clock and are restarting it, or who pursued modified duties or modified course offerings during the period under review, shall clearly address these procedures and how they affect the sections on teaching effectiveness, scholarly/creative activities, and service in the pertinent sections of the dossier. While mastery of subject matter is supported by the *curriculum vitae*, it should also be apparent in the sections on teaching effectiveness and scholarly/creative activity in particular. Continuing growth should also be demonstrated in each of the three main areas for review, in the narratives as well as in materials submitted.

V.I.3.a. Cover Letter. A brief cover letter should be addressed to the Department Chair, summarizing what is most important about the record under review.

V.I.3.b. Section on mastery of subject matter. This section should include only an updated *curriculum vitae*, with any accomplishments, degrees, certificates, licenses, or awards attained in the review period highlighted.

V.I.3.c. Section on effectiveness in teaching. This section of the dossier provides a reflective narrative and evidence of effectiveness of teaching and learning.

- Narrative about teaching and learning, including reflection on advising, peer evaluation, and student course evaluation/feedback
- Courses taught in the review period, with enrollments
- Courses developed or significantly revised
- Summary of advising responsibilities and approach
- Peer evaluations of teaching and learning (at least two)
- Course evaluation results
- Publications, presentations, and grants related to teaching
- Teaching awards and recognitions
- Evidence of student engagement and learning
- Courses or workshops taken to improve teaching effectiveness
- Certificates or licenses attained
- Participation in professional development opportunities
- Other examples of scholarly teaching

V.I.3.d. Section on scholarly ability. This section of the dossier provides a reflective narrative and evidence of scholarship/creative activity, as described in these policies.

- Narrative about scholarship/creative activity, including reflection on progress toward goals and possible new lines of inquiry
- Publications
- Performances, exhibitions, or shows
- Grants
- Community engagement
- Musical compositions, recordings, conducting
- Scholarly presentations
- Collaborative work with students
- Participation in professional development opportunities
- Courses or workshops taken in scholarly field
- Professional conferences attended
- Other evidence of scholarship/creative activity
- Work in progress

V.I.3.e. Section on university service. This section of the dossier provides a reflective narrative and listing of professional service, as described in these policies.

- Narrative about service during the review period
- Service to the university
- Service to the department, school, or college
- Professional service to the community
- Service to the discipline
- Professional consulting, technical advising, or other service
- Other service activities

V.I.3.f. Appendices. Materials in the Appendices should provide clearly labeled evidence to support the sections of the dossier. The main part of the dossier should refer reviewers to support materials in the appendices. These are the kinds of materials that are typically included in appendices:

- Artifacts of teaching (sample syllabi, assignments, student work)
- Summaries of student feedback on courses (course evaluations, mid-term evaluations, classroom-based assessments)
- Copies of publications and presentations
- Materials that document performances, shows, exhibitions
- Grant proposals
- Reports or documents related to community engagement
- Reviews of publications/presentations/concerts/exhibitions
- Other support documents

VI: Review of Term (Tenure-Track) Library Faculty

VI.A. Career timelines for library faculty reviews

VI.A.1. Regular timeline for library reappointments leading to continuing appointment

Consistent with the *Policies of the Board of Trustees of the State University of New York* reappointment reviews for a twelve-month term Assistant Librarian or Senior Assistant Librarian occur according to this timeline:

<i>Year of service</i>	<i>Review for</i>
1 st	2 nd -year reappointment
2 nd	3 rd - and 4 th -year reappointment
3 rd	5 th -year reappointment
4 th	6 th - and 7 th -year reappointment
6 th	Continuing Appointment (takes effect at beginning of 8 th year)

Because library faculty have twelve-month contracts with unique start dates, based on the date of initial appointment, regular reviews are scheduled not by the calendar but by the date of hire.

If a term Librarian is initially appointed by SUNY Fredonia as Associate Librarian, this timeline for reviews is in effect:

<i>Year of service</i>	<i>Review for</i>
1 st	2 nd and 3 rd year reappointment
2 nd	Continuing Appointment (takes effect at the beginning of 4 th year)

VI.A.2. Timeline for library faculty who have Prior Service Credit

According to the *Policies of the Board of Trustees of the State University of New York*, term faculty may request up to three years of credit toward review for continuing appointment, based on prior service in a tenure-track position at another institution (see *Policies XI.B.3.d*). Within one month of the initial appointment, eligible library faculty may request Prior Service Credit by submitting a completed form (<http://www.fredonia.edu/humanresources/forms/servicecredit.pdf>) to the office of the Vice President for Academic Affairs. Once eligibility is confirmed by the Human Resources office, the Vice President for Academic Affairs notifies faculty of approval of 1-3 years Prior Service Credit. As an example, with two years of Prior Service Credit, the regular timeline would be adjusted to reflect continuing appointment review in two fewer years:

Year of Service	Review for
1 st	2 nd Year reappointment
2 nd	3 rd and 4 th – year reappointment
3 rd	5 th year- reappointment
4 th	Continuing appointment (takes effect start of 6 th year)

VI.A.3. Regular timeline for promotion to Associate Librarian

Review for continuing appointment and promotion to Associate Librarian may occur at the same time, in the 6th year of appointment although continuing appointment is granted beginning with the 8th year of service. Promotion to the rank of Associate Librarian is in effect at the beginning of the 7th year of appointment. Continuing appointment may be granted without promotion.

Promotion to Associate Librarian when not granted at continuing appointment may occur at any time the requirements for promotion to Associate Librarian are met.

VI.A.4. Regular timeline for promotion to Librarian

Review for promotion to Librarian may occur 5 or more years after the rank of Associate Librarian was attained. For example, if promotion to Associate Librarian took effect on September 1, 2010, review for promotion to Librarian could occur as early as September 1, 2015. If granted, promotion would take effect September 1 of the following year.

VI.A.5. Early review for continuing appointment or promotion in rank

Only in exceptional cases will application for early continuing appointment or early promotion be considered. See the expectations for early continuing appointment and promotion in sections VI.G.6. In such cases, the review would normally occur no more than one full year early.

VI.B. Modified Reappointment Timeline

The university recognizes the need for all librarians to balance the commitments of family and work. Special circumstances can cause substantial alterations to one's daily routine, thus creating a need to pause the tenure clock, fulfill a modified workload and/or create a flexible schedule for a period of time.

Librarians have several options they may pursue when such circumstances arise. *The Policies of the Board of Trustees* and the UUP Agreement allow for faculty members to take unpaid leave under the terms of the Family and Medical Leave Act (FMLA). The following provide additional options that would *not* require faculty members to take unpaid leave when issues arise that affect the balance of work and life commitments:

VI.B.1. Pausing the Tenure Clock

VI.B.1.a. When a librarian is granted a pause in the tenure clock, that librarian is not expected to be working on scholarly or creative activities, nor on performing service activities, during the period of time in which the tenure clock is paused. The librarian is expected to

maintain normal responsibilities, unless he or she has also been granted a period of modified duties or unless other arrangements have been made.

VI.B.1.b. Tenure-track librarians have the option to request a pause of the tenure clock, either in conjunction with or separate from, a request for modified duties, modified course offerings, or leave granted pursuant to other provisions of the *Policies of the Board of Trustees*. Time off the tenure clock must be applied for and granted without regard to leave or modified duties status. The decision by the University to grant a pause of the tenure clock will be separate from any decision regarding proposed modified duties, modified course offerings, or grant of leave. Tenure-track librarians may request that the tenure clock be paused for a period of time when any of the following circumstances would seriously impair the librarian's capacity to build the record of accomplishment he or she judges appropriate for professional satisfaction and tenure review:

- i. Physical or mental illness or other physical condition
- ii. Pregnancy, adoption or foster child placement
- iii. Substantial caregiver responsibility for someone with whom the tenure-track librarian has an important relationship, including family and household, and including caregiver support for a partner who has given birth
- iv. Military service or obligations for self or partner
- v. Legal concerns, including but not limited to the settling of estates or the processing of divorce, custody deliberations or disputes, or civil suits or the defense of felony criminal charges
- vi. Pursuit of an advanced degree
- vii. Title F leaves or grant-related work

VI.B.1.c. The above list of circumstances is not intended to be exhaustive, but instead is intended to be illustrative in nature. This policy recognizes that a variety of circumstances and conditions can occur that would make it beneficial to the librarian and the University to pause the tenure clock temporarily. Pursuant to this policy, the University will agree to pause the tenure clock in semester or academic year increments; further, the University will grant a pause in the tenure clock for no more than two years, total, in the aggregate for any tenure-track librarian.

VI.B.1.d. Application for a pause of the tenure clock will be made by the individual librarian to the Library Director, using the Pausing the Tenure Clock¹⁵ form available from the Human Resources Office. The Director will recommend to the Vice President for Academic Affairs.

¹⁵ A draft of the Pausing the Tenure Clock form is not yet available, but models are being developed for HR.

VI.B.1.e. A pause of the tenure clock will not be counted against candidates when they resume the reappointment process. Candidates who are granted such requests are not expected to produce more work commensurate to the additional time that will accrue in their total time in appointment as a tenure-track librarian. Candidates for continuing appointment will be evaluated on equal terms with candidates who had no need to pause the tenure clock.

VI.B.1.f. The Library and the Library Faculty must include sections in their Department/Unit handbooks and personnel policies clarifying to individuals and personnel committees within the Library the procedures to be followed in assuring that librarians who pause the tenure clock temporarily are not penalized for doing so.

VI.B.1.g. Current practice under the Policies of the Board of Trustees allows two mechanisms for pausing the tenure clock: moving the individual from academic rank to qualified academic rank, with the assurance that movement back to academic rank is automatic after the period of time during which the tenure clock is paused; or decreasing the individual's status to part-time (e.g. 99%), with the assurance that movement back to full-time is automatic after the period of time during which the tenure clock is paused¹⁶. During a pause in the tenure clock, the librarian is not reviewed. When the clock restarts, the librarian picks up where he or she left off. Evidence of effective librarianship during the period of the paused tenure clock may be used in the subsequent reappointment dossiers, and any scholarly/creative activity that may have come to fruition during the period is likewise eligible for inclusion in subsequent dossiers. For example, something in the pipeline before the tenure clock was paused may appear in print during a pause in the tenure clock. Any such work counts for reappointment, continuing appointment, and promotion.

VI.B.1.h. If the Library Director does not support a request for a pause in the tenure clock, the reasons for denial shall be provided in writing within one week of such denial to the Vice President for Academic Affairs and to the librarian requesting the pause.

VI.B.1.i. Candidates who are denied requests for a pause in the tenure clock by the Director of the Library may appeal to the Vice President for Academic Affairs.

VI.B.1.j. Candidates who are not being reappointed may not petition for a pause in their tenure clock.

¹⁶ It is preferred that faculty not be moved to qualified academic rank, but this would most likely require negotiation between UUP and the State.

VI.B.2. Modified Duties and Modified Course Offerings

Library Faculty who need flexibility in balancing their work schedules while on the tenure-track may also apply for modified duties and modified course offerings. Procedures for these options are available from the Human Resources Office. Modified duties and modified course offerings do not affect the timeline for reappointment. These options include a full-time work equivalent and thus do not involve a reduction in pay.

VI.B.3. Voluntary Reduction in Work Schedule (VRWS)¹⁷

Under the VRWS program, an employee can defer a portion of earned income from the period it was actually earned to a period of time the employee would otherwise be on a scheduled unpaid leave. In other words, VRWS is a program that allows employees to voluntarily trade income for time off. This program can help with planned family care events such as birth, adoption, family members' surgery or other medical reasons. This can work in different ways. Library Faculty can take a pay reduction concurrently with time off, or take a pay reduction for a period of time while working and receive the withheld pay during a later period that would ordinarily be an unpaid leave. The latter allows an employee to spread out the financial burden. As the employee does not have to come off the payroll, this program also helps avoid loss of health insurance that occurs for an unpaid leave beyond the 12 weeks covered by the Family and Medical Leave Act (FMLA)¹⁸.

VI.B.4. Family and Medical Leave Act (FMLA)

For details on utilizing the Family and Medical Leave Act for unpaid leave, Library Faculty should contact the Human Resources office. Such leave does not automatically lead to a pause in the tenure clock. Library Faculty should consult with the Library Director on combining a pause in the tenure clock with FMLA leave.

¹⁷ Labor Education and Resource Network. <<http://www.learnworkfamily.org/cases/uup.html>>.

¹⁸ Confirmation is still needed on the procedures for this one from Human Resources, but the VRWS option was negotiated for in the 2007-2011 UUP Agreement.

VI.C. Annual Timelines for Library Faculty Reviews for Reappointment, Continuing Appointment, and Promotion

At the time of initial appointment, the Library Director prepares a timeline that shows specific review dates until continuing appointment and promotion review and gives this timeline to the new library faculty member, the Chair of the Library Faculty, the Chair of the Library Personnel Committee, Vice President for Academic Affairs, Director of Human Resources, and President. For review of first-year library faculty, see section VI.D

VI.C.1. Timeline for library faculty reviews in their second, third, and fourth years

10 weeks before hire date:	Candidate submits dossier to Library Personnel Committee
6 weeks before hire date:	Library Personnel Committee submits recommendation and dossier to Library Director and candidate
4 weeks before hire date:	Library Director submits recommendation and dossier to Vice President for Academic Affairs and candidate
2 weeks before hire date:	Vice President for Academic Affairs submits recommendation and dossier to President and candidate
By hire date:	President notifies candidate of reappointment decision

VI.C.2. Timeline for continuing appointment and promotion reviews for library faculty

21 weeks before hire date: Candidate submits dossier to Library Personnel Committee

18 weeks before hire date: Library Personnel Committee submits recommendation and dossier to Library Director and candidate

15 weeks before hire date: Library Director submits recommendation and dossier to Vice President for Academic Affairs and candidate

10 weeks before hire date: Vice President for Academic Affairs submits recommendation and dossier to President and candidate

8 weeks before hire date: President notifies candidate of promotion decision and submits continuing appointment recommendation to the Chancellor of the State University of New York

Before hire date: Chancellor notifies candidate of continuing appointment decision

VI.D. Process and Documentation for First-year Review

VI.D.1. Process for first-year library faculty (including faculty with and/or anticipating prior service credit)

VI.D.1.a. After completing three months of appointment, the first-year faculty member submits a 2-3 page Reappointment Statement and an updated *curriculum vitae* to the Library Personnel Committee. The Reappointment Statement should address the following questions:

- What experiences, credentials, and scholarly/creative interests will be especially helpful as you define and continue in your role in the library?
- What will you be doing in the next year to continue to develop as a librarian?
- What scholarly/creative activities are you planning for the next year? How do these activities fit into your goals for establishing a record of scholarship/creative activity that will lead to continuing appointment?
- In what service roles—within and beyond the library—do you see yourself making the greatest contributions?
- How will you take advantage of mentoring opportunities?

VI.D.1.b. In the second year of appointment, the library faculty member begins to follow the timeline outlined in section VI.C.1, submitting a full dossier to the Library Personnel Committee. Because this dossier provides an overview of accomplishments in the first year, the first-year library faculty member should collect materials that demonstrate librarianship, scholarship/creative activity, service, and professional development.

VI.D.1.c. Whereas candidates in their first year may share, at their discretion, any such materials they are collecting for the review that begins in October of their second year, the only materials the department may use during the first year review are the updated *curriculum vitae* and Reappointment Statement.

VI.D.1.d. Throughout the first year of appointment, the candidate should look for opportunities to refine the plan set out in the Reappointment Statement. The candidate should meet with her/his mentor and the Library Director to discuss a professional development plan, seek peer review of her/his performance as a librarian, and participate in professional development opportunities on campus and in the discipline.

VI.D.2. Process for Library Director and Library Personnel Committee

VI.D.2.a. The Personnel Committee should review the Reappointment Statement and submit a recommendation for second-year reappointment to the Library Director and to the candidate. Reviewing a Reappointment Statement differs from reviewing a full dossier in that the questions shift from evaluating evidence to providing feedback on a new library faculty member's plan for professional development. In the following year there will be an opportunity to review the full dossier of activities and accomplishments in the first year, so there is no need to look at an incomplete body of evidence.

VI.D.2.b. These are the questions that the Library Personnel Committee might consider in reviewing the Reappointment Statement:

- How might the experiences, credentials, and scholarly/creative interests of this first-year library faculty member be valuable to the library and campus?
- What comments and advice do you have about the first-year library faculty member's plan for developing as a librarian?
- What comments and advice do you have about the first-year library faculty member's plan for scholarship/creative activity?
- What mentors or resources would be valuable for this first-year library faculty member to know about?

VI.D.2.c. The department's review should focus on providing feedback to the candidate's professional development plan; therefore, the department may require revisions to the candidate's updated *curriculum vitae* and Reappointment Statement, but should not preempt the normal evaluative review that begins in October of the candidate's second year.

VI.D.2.d. After this initial review, first-year library faculty members should meet with the Library Director along with her/his mentor to discuss their professional development plans. This is an opportunity for conversation about the reappointment statement and elaboration of suggestions and advice that should be in the Library Director's letter of recommendation.

VI.E. Process for Evaluating Library Faculty for Reappointment, Continuing Appointment, and Promotion

VI.E.1. Review by the Library

The review of library faculty for reappointment, continuing appointment, and promotion should involve input from all tenured and/or tenure-track library faculty members. In this way, the review is informed by multiple perspectives. The process for eliciting such input—including whether evaluations are written by individuals or discussed and then summarized by the personnel committee—should be clarified in the library faculty guidelines. Any written evaluations used at the library level become part of the review process and are forwarded to subsequent levels of review.

V.E.1.a. Criteria for Department Policies. The process for eliciting input—including whether evaluations are written by individuals or discussed and then summarized by the Library Personnel Committee (LPC) —shall be clearly addressed in the policies. Policies shall clearly identify acceptable criteria appropriate to the department, expectations for documentation, and dossier content. Policies shall also address whether a meeting between the candidate and the LPC is required or optional before the committee’s recommendation is made.

The Library and/or Library Faculty must include sections in their Department/Unit handbooks and personnel policies clarifying to individuals and to personnel committees within those units the procedures for evaluating faculty who are granted modified duties or modified course offerings, assuring that such procedures do not penalize librarians who pursue these workload options.

All written evaluations used at the department level become part of the review process and are forwarded to subsequent levels of review.

VI.E.1.b. Library Personnel Committee. The structure, function and authority of the Library Personnel Committee shall be defined in the Library Personnel Policies. Included within these policies, the LPC shall address: the eligibility of untenured faculty to serve on the LPC; the eligibility of LPC members of lower rank than the candidate under review to participate in the assessment of the candidate’s application for reappointment/continuing appointment/promotion; the eligibility of LPC members of lower rank than the candidate under review to vote on the candidate’s application for reappointment/continuing appointment/promotion. As stated in section V.C.1, the LPC recommendation shall be handed into the chair with sufficient time to allow for the applicant to submit their appeals.

If there are fewer than three Librarians eligible under the Library Personnel Policy to constitute a Library Personnel Committee, additional faculty from outside the department will be appointed by the LPC in collaboration with the candidate. In reviews for continuing appointment or promotion, either the candidate or the LPC may request that the opinion of an external reviewer be obtained, either from a different SUNY Fredonia department or unit, or from outside of Fredonia. In such a case the initiator of the request will make the request in writing to the Library Director, who will consult with all affected parties in choosing the external reviewer.

VI.E.1.c. Faculty candidate presentation/meeting with library personnel committee. All library faculty candidates have the opportunity to meet with the personnel committee before the final committee recommendation is submitted to the Library Director. The function of this meeting is to clarify the record and evidence as portrayed in the dossier, not to be an inquisition of the candidate.

VI.E.1.d. Library Faculty Chair's recommendation to the Library Director. The Library Faculty Chair's recommendation is a memorandum or letter addressed to the Library Director, identifying the library faculty candidate by current rank and year of service. The letter provides a clear recommendation for or against reappointment, continuing appointment, or promotion, based on library faculty's review of the materials in the dossier. A copy of this recommendation is sent to the library faculty candidate.

VI.E.1.e. Appeal of departmental recommendation. If the library faculty candidate wishes to correct an error or make a comment about the Library Personnel Committee's recommendation, he/she should write a letter of appeal to the Library Director. This letter should be submitted at least one week before the Library Director's deadline for recommending to the Vice President for Academic Affairs. The candidate should send a copy of the appeal letter to the Library Faculty Chair.

VI.E.2. Review by the Library Director

The Library Director's review of library faculty for reappointment, continuing appointment, and promotion should be based on all materials submitted for that personnel review: the dossier, materials and recommendation from the Library Personnel Committee, any written evaluations by individuals or groups within the library, and appeal letter (if one is submitted).

VI.E.2.a. Library Director's recommendation to the Vice President for Academic Affairs. The Library Director's recommendation is a memorandum or letter, addressed to the Vice President for Academic Affairs, identifying the library faculty candidate by current rank and year of service. The letter provides a clear recommendation for or against reappointment, continuing appointment, or promotion, based on the Library Director's review of the materials in the dossier and evaluation materials submitted at any previous level of review. A copy of this recommendation is sent to the library faculty candidate and to the Library Personnel Committee Chair.

VI.E.2.b. Appeal of Library Director's recommendation. If the candidate wishes to correct an error or make a comment about the Library Director's recommendation, he/she should write a letter of appeal to the Vice President for Academic Affairs. This letter should be submitted at least one week before the Vice President's deadline for recommending to the President (see sections VI.C.1 and VI.C.2). The candidate should send a copy of the appeal letter to the Library Director.

VI.E.3. Review by the Vice President for Academic Affairs

The Vice President's review of library faculty for reappointment, continuing appointment, and promotion is based on evaluation of the dossier and all materials submitted in previous levels of review.

VI.E.3.a. Vice President's recommendation to the President of SUNY Fredonia. The Vice President's recommendation is a memorandum or letter addressed to the President, identifying the library faculty candidate by current rank and year of service. The letter provides a clear recommendation for or against reappointment, continuing appointment, and/or promotion, based on the Vice President's review of the dossier and all submitted evaluations (appeals) and recommendations. A copy of this recommendation is sent to the faculty candidate, Library Director, and Director of Human Resources.

VI.E.3.b. Appeal of the Vice President's recommendation. If the library faculty candidate wishes to correct an error or make a comment about the Vice President's recommendation, he/she should write a letter of appeal to the President. This letter should be submitted at least one week before the Vice President's deadline for notifying library faculty or recommending to the Chancellor (see sections VI.C.1 and VI.C.2). The candidate should send a copy of the appeal letter to the Library Director and Vice President for Academic Affairs.

VI.E.4. Review by the SUNY Fredonia President

The President's review of library faculty for reappointment, continuing appointment, and promotion is based on evaluation of the dossier and all materials submitted in previous levels of review. In the case of reappointment, the President notifies library faculty of the campus decision to end the process for that academic year. For continuing appointment and promotion, the President sends a recommendation to the Chancellor of the State University of New York and sends a copy to the faculty candidate, Library Personnel Committee Chair, Library Director, Vice President for Academic Affairs, and Director of Human Resources.

VI.E.5. Response from the Chancellor of the State University of New York

Following the recommendation from the President of SUNY Fredonia, the Chancellor notifies the library faculty candidate of his/her decision about continuing appointment and/or promotion.

VI.F. University Personnel Committee

The University Personnel Committee is detailed in section V.F. of this document.

VI.G. Criteria for Evaluating Library Faculty

Library Faculty are evaluated based on the criteria outlined in the *Policies of the Board of Trustees of the State University of New York*. In addition, these policies identify specific interpretations of these criteria at SUNY Fredonia, based on institutional mission, commitments, and priorities. Library faculty guidelines shall provide further specificity for Library Faculty.

VI.G.1. Criteria for faculty of the State University of New York

VI.G.1.a. Mastery of subject matter. The *Policies* define mastery of subject matter “as demonstrated by such things as advanced degrees, licenses, honors, awards and reputation in the subject matter field” (see *Policies* XII.A.4.a). Generally, mastery of subject matter is evaluated as a condition for hiring in a term position.

VI.G.1.b. Effectiveness in teaching. The *Policies* define effectiveness in teaching “as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses and student reaction, as determined from surveys, interviews and classroom observation” (see *Policies* XII.A.4.b).

VI.G.1.c. Scholarly ability. The *Policies* define scholarly ability “as demonstrated by such things as success in developing and carrying out significant research work in the subject matter field, contribution to the arts, publications and reputation among colleagues” (see *Policies* XII.A.4.c).

VI.G.1.d. Effectiveness of University service. The *Policies* define effectiveness of University service “as demonstrated by such things as college and University public service, committee work, administrative work and work with students or community in addition to formal teacher-student relationships” (see *Policies* XII.A.4.d).

VI.G.1.e. Continuing growth. The *Policies* define continuing growth “as demonstrated by such things as reading, research or other activities to keep abreast of current developments in the academic employee’s fields and being able to handle successfully increased responsibility” (see *Policies* XII.A.4.e).

VI.G.2. Criteria for library faculty of SUNY Fredonia

The criteria for library faculty review at SUNY Fredonia are based on those in the *Policies of the Board of Trustees of the State University of New York*, as well as the institutional interpretations, commitments, and priorities defined in the sections below.¹⁹ Library faculty are evaluated primarily in the areas of librarianship (as a form of teaching), scholarship/creative activity, and service, with an understanding that continued mastery of subject matter and continuing growth occur in each of these areas. All areas, as interpreted in the library faculty guidelines, are to be taken into consideration in all library faculty evaluations. For purposes of evaluation, some activities can fall into more than one category.

VI.G.2.a. SUNY Fredonia statement on effectiveness in librarianship.

Aspects of Librarianship are a form of teaching, in that the librarian's work influences student learning outcomes. Please see library department/unit handbooks and guidelines for specific examples.

Gathering and evaluating evidence of effectiveness in librarianship should be a routine part of a library faculty member's approach to her/his work. No single source of information is an adequate assessment of the impact on academic achievement. Please see library departmental/unit handbooks and guidelines for specific examples.

VI.G. 2.b. SUNY Fredonia statement on Scholarship. At SUNY Fredonia, scholarship is defined broadly, and interdisciplinary approaches are valued. These policies reflect the definition of scholarship as outlined by Ernest L. Boyer, former SUNY Chancellor and President of the Carnegie Foundation for the Advancement of Teaching. In *Scholarship Reconsidered: Priorities of the Professoriate*,²⁰ Boyer offered a more inclusive paradigm to define the scholarly work of academics that includes the scholarship of discovery, integration, application, and teaching. Boyer later added the scholarship of engagement to include scholarly activity that deeply engages faculty in service-learning and addressing community-related needs. All of these areas may be evident in a faculty member's teaching, research, and service work.

¹⁹ Some of the concepts and language of this section have been adapted from materials written by John Kijinski when he served at Idaho State University.

²⁰ Ernest L. Boyer. *Scholarship Reconsidered: Priorities of the Professoriate*. New York: The Carnegie Foundation for the Advancement of Teaching, 1990.

- The *scholarship of discovery* involves the investigation and search for new information, knowledge, theory, and artistic or creative design.
- The *scholarship of integration* involves creating connections across disciplines in order to expand and extend knowledge to a larger audience. This may include interdisciplinary connections between the arts, humanities, natural sciences, social sciences, and education.
- The *scholarship of application* means using knowledge in order to address pressing social and community needs in hopes of creative positive social change. A scholar's expertise is used to help solve problems in and around the university community. Often times, the social issue and/or social institutions define the program for investigation.
- The *scholarship of teaching* includes those activities that expand the knowledge, skills, and abilities of others and making public these activities in order to inform a larger community of teachers. This involves strategies to transmit knowledge that engages, challenges, and actively involves students in order to enhance learning.
- The *scholarship of engagement* means "connecting the rich resources of the university to our most pressing social, civic, and ethical problems, to our children, to our schools, to our teachers, and to our cities"²¹ (Boyer, 1996). Service-learning initiatives and community-based collaborative research are forms of engaged scholarship.

Ideally, the library faculty would represent the "mosaic of talent" described by Boyer. Although all faculty must demonstrate mastery of subject matter and ability to engage in the community of scholars in their fields, some faculty may focus primarily on traditional research and creative activity, leading to publications, presentations, and performances. Some library faculty may emphasize the scholarship of teaching, as they bring their expertise not only to their own instruction but to the collective efforts of curriculum design, assessment of learning, and

²¹ Ernest L. Boyer. "The Scholarship of Engagement." *Journal of Public Outreach* 1.1 (1996): 11-20.

student engagement. Other library faculty may focus on scholarship of integration or application, crossing the borders between disciplines or using theoretical knowledge to solve real-world problems. As a regional public university, SUNY Fredonia also values community engagement as appropriate scholarship. Over the course of an academic career, library faculty may engage in activities across this broad mosaic of scholarship.

High quality scholarship and creative activity is evidenced in many ways. Please see library departmental/unit handbooks and guidelines for specific examples.

VI.G.2.c. SUNY Fredonia statement on effectiveness of university service.

Service is defined as those professional activities which aid the library, college, university, profession, or community. Beyond their individual roles in teaching and scholarship/creative activity, the library faculty share responsibility for the academic mission of the university and therefore play significant roles in recruitment, assessment of learning, faculty review, accreditation, academic initiatives, and governance. Such valuable efforts are recognized as important aspects of faculty performance.

Please see library departmental/unit handbooks and guidelines for specific examples.

Library faculty also lend their expertise to professional and community organizations. In some instances, collaboration with community partners may represent engaged scholarship; in other cases, volunteering one's expertise is valued service. Library faculty guidelines may offer clear examples specific to the field.

Please see library departmental/unit handbooks and guidelines for specific examples.

Professionally related community service activities—as opposed to the volunteerism that good citizens do. Please see library departmental/unit handbooks and guidelines for specific examples.

All library faculty are expected to contribute to the service workload of the library and university. No amount of professional or public service excuses a faculty member from taking on the tasks that are essential to the academic enterprise.

VI.G.3. Weighting of criteria

Librarianship, scholarship/creative activity, and service are all important components of a library faculty member's professional role, and confidence that adequate performance in all of these areas will continue is needed for positive decisions on reappointment, continuing appointment, and promotion. Quality library services are essential in delivering the academic mission at SUNY Fredonia, and a high level of expertise in many aspects of the profession is expected of all library faculty. Library faculty guidelines offer discipline-specific criteria for librarianship, scholarship/creative activity, service, and continuing growth. Weighting of these criteria in the evaluation of faculty who pause the tenure clock for a period of time, or pursue modified duties/course offerings/a VRWS option for a period of time, should be commensurate with the particular responsibilities of the faculty member during that period of time.

VI.G.4. Expectations for reappointment

These are the expectations for successful review for reappointment of library faculty:

- Evidence that the candidate is showing growth in the field of librarianship
- Evidence that the candidate is sufficiently engaged in professional scholarship/creative activity and planning future scholarship/creative activity
- Evidence that the candidate is sufficiently engaged in appropriate library, university, community, and professional service
- Evidence that the candidate is satisfactorily progressing toward expectations for continuing appointment

VI.G.5. Expectations for continuing appointment and promotion to Associate Librarian

Continuing appointment and promotion are separate personnel recommendations but are normally granted together. These are the expectations for successful review for continuing appointment and promotion to the senior rank of Associate Librarian:

- Evidence that the candidate is an innovative librarian and will actively continue to develop as a librarian
- Evidence that the candidate has continued to be engaged in and completed scholarly/creative activity that have been peer reviewed or otherwise recognized nationally or internationally
- Evidence that the candidate has engaged in significant library, university, and professional service and will continue to do so

VI.G.6. Expectations for early continuing appointment and/or promotion for library faculty

Most library faculty are reviewed for continuing appointment and promotion to Associate Librarian in the sixth year of appointment (see the regular timeline in section VI.A.1). Continuing appointment is granted based on sustained accomplishments across the years of review; it is not awarded as soon as one demonstrates a minimal threshold of achievements. Only cases in which librarianship, scholarship/creative activity, and service are all at exceptional levels—i.e., well beyond what would be expected for application for continuing appointment and/or promotion at the normal time—could be considered early. Candidates may apply for early continuing appointment and early promotion to Associate Librarian only once. If denied early continuing appointment and/or promotion, the candidate may apply for the same under the regular appointment schedule.

VI.G.7. Expectations for promotion to Librarian

These are the expectations for successful review for promotion to the most senior rank of Librarian:

- Evidence that the candidate is an innovative librarian and will actively continue to develop in the profession
- Evidence that the candidate has continued to be engaged in professional scholarly/creative activity that have been peer reviewed nationally or internationally
- Evidence that the candidate has continued to be engaged in significant library, university, and professional service and has taken leadership roles in some of service activities

VI.H. Department Policies

VI.H.1. Department guidelines and handbooks

Each department publishes and regularly reviews its own personnel review guidelines to supplement these university-level policies with discipline-specific interpretations and expectations for the evaluation of librarianship, scholarship/creative activity, and service. Library faculty guidelines must be approved by the Library Director and Vice President for Academic Affairs. When candidates are appointed to term Library Faculty positions, they shall be given a copy of the library personnel guidelines, these SUNY Fredonia policies, and the *Policies of the Board of Trustees of the State University of New York*. Additionally, candidates appointed to term positions shall be informed of the library's mentoring process.

VI.H.2. Relationship of department guidelines to SUNY and SUNY Fredonia Policies

The library faculty guidelines may offer specific interpretations of terms, criteria, and departmental procedures, but they must be aligned with the policies of SUNY Fredonia and the *Policies of the Board of Trustees of the State University of New York*.

VI.I. Documentation for Reappointment, Continuing Appointment, and Promotion²²

Evaluation of term library faculty is based primarily on review of the dossier submitted by each library faculty member under review. Like all scholarly projects, dossier preparation requires reflection, gathering of appropriate evidence, good writing, and professionalism.

VI.I.1. Electronic and print dossier formats

Although SUNY Fredonia may move to all-electronic format for dossiers in the future, the current practice is to submit print dossiers, generally in the form of a three-ring binder with pages divided into sections. Library faculty who wish to submit materials electronically—on CD or website—may do so, provided that the Library Personnel Committee has approved this format.

VI.I.2. General principles of dossier preparation

VI.G.2.a. Dossier for reappointment review. The dossier for reappointment review presents narratives and evidence of effectiveness in a particular review period. The dossier should include the accomplishments only of the review period, along with commentary about planned work and work in progress. The dossier for reappointment review presents an argument that assists reviewers in answering the question, “How does this library faculty member’s work demonstrate that he/she should be reappointed for another year?”

VI.I.2.b. Dossier for continuing appointment and/or promotion review. The dossier for continuing appointment and/or promotion review presents narratives and evidence of effectiveness over the years from initial appointment (for continuing appointment and promotion to Associate Librarian) or since the last promotion (for promotion to Librarian). For continuing appointment, the dossier presents an argument that assists reviewers in answering

²² Some of the concepts and language of this section have been adapted from materials that Virginia Horvath wrote for workshops at other institutions on documentation of faculty work.

the question, “How does this library faculty member’s work across all areas demonstrate that continuing appointment is warranted?” For promotion, the dossier presents an argument that assists reviewers in answering the question, “How does this library faculty member’s work demonstrate that he/she has met the requirements for promotion to a more senior academic rank?”

VI.I.2.c. Audience of the dossier. Although review of the dossier begins in the library, some readers are from outside the discipline of the library faculty candidate. Therefore, the dossier should be written as clearly and specifically as possible for a general academic audience.

VI.I.2.d. Organization of the dossier. Each dossier may be presented in slightly different ways, based on the discipline, department guidelines, and the library faculty candidate’s own style and preferences. The outline in section V.G.3 offers general guidelines for organizing dossiers according to the criteria of the *Policies of the Board of Trustees of the State University of New York* and the broad view of scholarship/creative activity described in these SUNY Fredonia policies.

VI.I.2.e. Format of the dossier. A print dossier should be compact, professional looking, and easy to navigate (room to turn pages, labeled sections clear cross-reference). Library faculty candidates preparing dossiers should assume the same principles that guide their responses to professional writing: stacks of raw data, poorly organized or written documents, or padded/misrepresented files are inappropriate.

VI.I.2.f. Time. Preparing a professional dossier requires time for both thinking and assembling materials. Library faculty candidates should start the process early and seek feedback and advice from colleagues and mentors.

VI.I.3. Content of the dossier

Library faculty should prepare the dossier according to this outline and submit all materials to the Library Personnel Committee by the established date (see section VI B.1 and VI.B.2). This outline and timeline do not apply for library faculty in their first year of appointment (see section VI.D.).

Information included in reappointment dossiers refers to what was accomplished only during the year under review. Dossiers for continuing appointment and/or promotion review include information for all years on appointment at SUNY Fredonia (or for promotion to Librarian, since the last promotion). Faculty who paused their tenure clock and are restarting it, or who

pursued modified duties or modified course offerings during the period under review, shall clearly address these procedures and how they affect the sections on teaching effectiveness, scholarly/creative activities, and service in the pertinent sections of the dossier. While mastery of subject matter is supported by the *curriculum vitae*, it should also be apparent in the sections on teaching effectiveness and scholarly/creative activity in particular. Continuing growth should also be demonstrated in each of the three main areas for review, in the narratives as well as in materials submitted.

VI.I.3.a. Cover Letter . A brief cover letter should be addressed to the Library Director, summarizing what is most important about the record under review.

VI.I.3.b. Section on mastery of subject matter. This section should include only an updated *curriculum vitae*, with any accomplishments, degrees, certificates, licenses, or awards attained in the review period highlighted.

VI.I.3.c. Section on effectiveness in librarianship. This section of the dossier provides a reflective narrative and evidence of effectiveness of librarianship. Please see library departmental/unit handbooks and guidelines for specific examples.

VI.I.3.d. Section on scholarly ability. This section of the dossier provides a reflective narrative and evidence of scholarship/creative activity, as described in these policies. Please see library departmental/unit handbooks and guidelines for specific examples.

VI.I.3.e. Section on university service. This section of the dossier provides a reflective narrative and listing of professional service, as described in these policies. Please see library departmental/unit guidelines for specific examples.

VI.I.3.f. Appendices. Materials in the Appendixes should provide clearly labeled evidence to support the sections of the dossier. The main part of the dossier should refer reviewers to support materials in the appendices. Please see library departmental/unit handbooks and guidelines for specific examples.

VII: Review of Professional Staff

VII.A. Types of Appointments for Professional Staff

VII.A.1. Term Appointment

The Policies of the Board of Trustees of the State University of New York Article XI, Title D states:

“§ 1. *Definition.* Except as provided in Section 6 of this Title, a term appointment shall be an appointment for a specified period of not more than three years which shall automatically expire at the end of that period unless terminated earlier because of resignation, retirement or termination.

§ 2. *Eligibility.*

(a) A term appointment may be given to any person appointed to or serving in a position designated as being in the Professional Services Negotiating Unit.

(b) Part-time service.

(1) Further employment at any college of an individual who has been employed at that college on a part-time basis for six consecutive semesters in a position designated as being in the Professional Services Negotiating Unit shall be on the basis of a term appointment. In computing consecutive semesters of part-time service for the purposes of appointment or reappointment under this subdivision, periods of leave of absence at partial salary or without salary shall not be included, but shall not be deemed an interruption of otherwise consecutive service. An individual who has been granted term appointment but for whom classroom enrollment is inadequate shall have no entitlement to salary, benefits, or any other rights or privileges.

(2) In the event the service of such an individual is interrupted for a period of four consecutive semesters or more, the chief administrative officer of the college may grant the employee any type of appointment as in the chief administrative officer's judgment is appropriate.

§ 3. *Method of Appointment.* All term appointments shall be made by the chief administrative officer of the college and shall be reported to the Chancellor.

§ 4. *Renewal of Term.* Except as provided in this Article, term appointments may be renewed by the chief administrative officer of the college for successive periods of not more than three years each; such renewals shall be reported to the Chancellor. No term appointment, of itself, shall be deemed to create any manner of legal right, interest or expectancy in any other appointment or renewal.

§ 5. Notice. In the event a term appointment is not to be renewed upon expiration, the chief administrative officer or the chief administrative officer's representative will notify the appointee in writing not less than:

- (a) Forty-five calendar days prior to the end of a part-time service term appointment;**
- (b) Three months prior to the end of a term expiring at the end of an appointee's first year of uninterrupted service within the University, but not later than March 31 for terms ending in June, July or August;**
- (c) Six months prior to the end of a term expiring after the completion of one, but not more than two, years of an appointee's uninterrupted service within the University, but not later than December 15 for academic year employees and mentors at Empire State College whose terms end in June, July or August;**
- (d) Twelve months prior to the expiration of a term after two or more years of uninterrupted service within the University; and**
- (e) Six months prior to the expiration of a term for titles listed in Appendix B(1) and B(2), infra.**

§ 6. Other Appointments.

(a) Five-year term appointments are appointments which may be granted only to persons who serve in a professional title listed in Appendix A of this Article. Except for their duration, five-year term appointments shall be subject to the same procedures for methods of appointment, renewal and notice of nonrenewal of term appointments in accordance with the provisions of this Title.

(b) (1) A person whose initial appointment to any college of the University is to a professional title listed in Appendix A of this article must be granted term appointments for the first three years of employment in such title at that college. Upon completion of a total three years of consecutive service on such term appointment basis, further appointment in such title at such college and each appointment renewal thereafter in such title at such college shall be for a five-year term appointment.

(2) In the event such person is subsequently appointed to a professional title in which permanent appointment may be granted, that person shall be granted a term appointment in such professional title only and shall not retain the term appointment or the five-year term appointment, as appropriate, in the professional title listed in Appendix A of this Article.

(c) A professional employee holding a permanent appointment or term appointment in a professional title in which permanent appointment may be granted at any one college who is appointed to a professional title listed in Appendix A of this Article at the same college shall be given a probationary appointment in such title listed in Appendix A.

(1) (a) A professional employee holding permanent appointment in professional title who completes a probationary appointment in a professional title listed in Appendix A of this Article, shall be granted a five-year term appointment in the professional title listed in Appendix A of this Article only and shall not retain permanent appointment in the former professional title.

(b) In the event such professional employee is subsequently appointed to the same former professional title held at the college prior to appointment to a professional title listed in Appendix A of this Article, the employee shall resume permanent appointment in such former professional title. If such subsequent appointment is to a professional title different from such

former professional title at the college or to a different college, the employee shall be given a term appointment.

(c) In the event the five-year term appointment of such professional employee is not renewed and, on the effective date of such nonrenewal, a vacancy exists in the same former professional title held on the basis of permanent appointment at the college prior to appointment to a professional title listed in Appendix A of this Article, the employee shall resume permanent appointment in such former professional title on the effective date of nonrenewal from the five-year term appointment.

(2) (a) A professional employee holding a term appointment in professional title who completes a probationary appointment in a professional title listed in Appendix A of this Article shall be granted a five-year term appointment in such professional title listed in Appendix A only and shall not retain a term appointment in the former professional title.

(b) In the event such professional employee is subsequently appointed to a professional title in which permanent appointment may be granted, the employee shall be granted a new term appointment in such professional title.

(d) At any time during a probationary appointment given in accordance with this section, the appointing authority may require the professional employee to return to the employee's former professional title at the college and such action shall be accomplished as soon as practicable.

(1) A professional employee holding a permanent appointment in a professional title and serving a probationary appointment in a title listed in Appendix A of this Article who so returns to the employee's former professional title shall resume permanent appointment in the former professional title.

(2) A professional employee holding a term appointment in a professional title in which permanent appointment may be granted and serving a probationary appointment in a title listed in Appendix A of this Article who so returns to his or her former professional title shall be granted a new term appointment in such former professional title and shall not be eligible for permanent appointment in such former professional title until expiration of that term appointment at the earliest. Notice that a term appointment in this circumstance will be allowed to expire shall be given at the appropriate time prior to the expiration of that new term appointment.

(e) Service Credit.

(1) Employees granted term appointments pursuant to subdivisions b (2), c (1) (b) and c(2) (b) herein may, at the request of the professional employees in the discretion of the Chancellor, or designee, be credited, at the time of such appointments, with all prior continuous University service up to a maximum of four years for purposes of eligibility for permanent appointment. Waiver of all or part of this service credit shall be granted upon request of the employee to the chief administrative officer not later than six months after the date of such appointment.

(2) In computing consecutive years of service for the purposes of appointment or reappointment under this section, periods of leave of absence at full salary and periods of full-time service in probationary and temporary appointments granted pursuant to this section shall be included; periods of leave of absence at partial salary or without salary and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

(f) The Board of Trustees may, from time to time, designate professional titles to be added to or deleted from Appendix A.

(g) Athletics.

(1) *Division I Campuses – Athletic Director and Staff.* Full time college year, academic year and calendar year employees in titles in Appendix B(1) of this Article shall be provided a minimum term appointment of one year up to a maximum term appointment of five years. Term appointments for employees in titles in Appendix B(1) of this Article shall be subject to the same procedures for methods of appointment and renewal of term appointments in accordance with this Article except as modified herein. Except in cases of discipline or retrenchment, in the event the University elects to terminate a term appointment before the expiration of the term, the University shall compensate the individual for up to the maximum of the time remaining on the term appointment.

(2) *Division I Revenue Producing Sports – Coaching Titles.* Full time college year, academic year and calendar year employees in the titles in Appendix B(2) of this Article, whose coaching and coaching related duties account for 75% or more of their professional obligation, shall be provided a minimum term appointment of one year up to a maximum term appointment of five years. Term appointments for employees in titles in Appendix B(2) of this Article shall be subject to the same procedures for methods of appointment and renewal of term appointments in accordance with this Article except as modified herein. Except in cases of discipline or retrenchment, in the event the University elects to terminate a term appointment before the expiration of the term, the University shall compensate the individual for up to the maximum of the time remaining on the term appointment.

(3) *Division I Nonrevenue Producing Sports – Coaching Titles.* Full time college year, academic year and calendar year employees in the titles in Appendix B(3) of this Article, whose coaching and coaching related duties account for 75% or more of their professional obligation, shall be provided a minimum term appointment of one year up to a maximum term appointment of five years. Term appointments for employees in titles in Appendix B(3) of this Article shall be subject to the same procedures for methods of appointment and renewal of term appointments in accordance with this Article except as modified herein. Except in cases of discipline or retrenchment, in the event the University elects to terminate a term appointment before the expiration of the term, the University shall compensate the individual for up to the maximum of the time remaining on the term appointment.

(4) *Division II Sports.* Where an institution has declared its intention to move to the Division I level of competition, and as a consequence is participating at the Division II level for the period of time as required by the NCAA rules, the coaches in the affected sports shall be treated for purposes of appointment and renewal pursuant to the rules for Division I coaches, either revenue producing or nonrevenue producing as appropriate to the sport. In the event the institution does not move to a Division I level of competition within four years, the coaches shall revert to the appointment, renewal and nonrenewal status applicable to Division III competition.

(5) *Division III Sports.* Full time college year, academic year and calendar year employees in the titles in Appendix B(4) of this Article, whose coaching and coaching-related duties account for 75% or more of their professional obligation, shall, for the first four years of employment in any of the titles in Appendix B(4) of this Article, be provided a minimum term appointment of one

year up to a maximum term appointment of three years. Following the fourth year of employment, employees in titles in Appendix B(4) of this Article shall receive a term appointment of three years. Term appointments for employees in titles in Appendix B(4) of this Article shall be subject to the same procedures for methods of appointment and renewal of term appointments in accordance with this Article except as modified herein. Except in cases of discipline or retrenchment, in the event the University elects to terminate a term appointment before the expiration of the term, the University shall compensate the individual for up to the maximum of the time remaining on the term appointment.

(6) A professional employee holding a permanent appointment or term appointment in a professional title in which permanent appointment may be granted at the same college who is appointed to a professional title listed in Appendix B of this Article at the same college shall not retain permanent appointment nor term appointment in the former professional title.

(i) In the event a professional employee who held a term appointment in a professional title in which permanent appointment could have been granted is subsequently appointed to a professional title in which permanent appointment may be granted, such employee shall be granted a term appointment in such professional title only and shall not retain the term appointment in the professional title listed in Appendix B of this Article.

(ii) In the event such professional employee who held a permanent appointment at the time such employee was appointed to a professional title listed in Appendix B of this Article is subsequently appointed to the same former professional title held at the college prior to appointment to a professional title listed in Appendix B of this Article, the employee shall resume permanent appointment in such former professional title. If such subsequent appointment is to a professional title different from such former professional title at the college or to a different college, the employee shall be given a term appointment.

(iii) In the event the term appointment of such professional employee is not renewed and, on the effective date of such nonrenewal, a vacancy exists in the same former professional title held on the basis of permanent appointment at the college prior to appointment to a professional title listed in Appendix B of this Article, the employee shall resume permanent appointment in such former professional title on the effective date of nonrenewal from the five-year term appointment.

(7) Service Credit.

(i) Employees granted term appointments pursuant to subparagraphs (i), (ii) or (iii) of paragraph (6) of subdivision (g) herein may, at the request of the professional employees and in the discretion of the chancellor, or designee, be credited, at the time of such appointments, with all prior continuous university service up to a maximum of four years for purposes of eligibility for permanent appointment.

Waiver of all or part of this service credit shall be granted upon request of the employee to the chief administrative officer not later than six months after the date of such appointment.

(ii) In computing consecutive years of service for the purposes of appointment or reappointment under this section, periods of leave of absence at full salary and periods of full-time service in probationary and temporary appointments granted pursuant to this section shall be included; periods of leave of absence at partial salary or without salary and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

(8) The board of trustees may, from time to time, designate professional titles to be added to or deleted from Appendix B, *infra*.

(h) Fundraising. Full-time college year and calendar year employees in the titles in Appendix C of this Article, shall, for the first four years of employment in any of the titles in Appendix C of this Article, be provided a minimum term appointment of one year up to a maximum term appointment of three years. Following the fourth year of employment, employees in titles in Appendix C of this Article shall receive a term appointment of three years. Term appointments for employees in titles in Appendix C of this Article shall be subject to the same procedures for methods of appointment and renewal of term appointments in accordance with this Article except as modified herein. Except in cases of discipline or retrenchment, in the event the university elects to terminate a term appointment before the expiration of the term, the university shall compensate the individual for the time remaining on the term appointment.

(1) A professional employee holding a permanent appointment or term appointment in a professional title in which permanent appointment may be granted at the same college who is appointed to a professional title listed in Appendix C of this Article at the same college shall not retain permanent appointment nor term appointment in the former professional title.

(i) In the event a professional employee who held a term appointment in a professional title in which permanent appointment could have been granted is subsequently appointed to a professional title in which permanent appointment may be granted, such employee shall be granted a term appointment in such professional title only and shall not retain the term appointment in the professional title listed in Appendix C of this Article.

(ii) In the event such professional employee who held a permanent appointment at the time such employee was appointed to a professional title listed in Appendix C of this Article is subsequently appointed to the same former professional title held at the college prior to appointment to a professional title listed in Appendix C of this Article, the employee shall resume permanent appointment in such former professional title. If such subsequent appointment is to a professional title different from such former professional title at the college or to a different college, the employee shall be given a term appointment.

(iii) In the event the term appointment of such professional employee is not renewed and, on the effective date of such nonrenewal, a vacancy exists in the same former professional title held on the basis of permanent appointment at the college prior to appointment to a professional title listed in Appendix C of this Article, the employee shall resume permanent appointment in such former professional title on the effective date of nonrenewal from the three-year term appointment.

(2) Service Credit.

(i) Employees granted term appointments pursuant to subparagraphs (i), (ii) or (iii) of paragraph (1) of subdivision (h) herein may, at the request of the professional employees and in the discretion of the chancellor, or designee, be credited, at the time of such appointments, with all prior continuous university service up to a maximum of four years for purposes of eligibility for permanent appointment.

Waiver of all or part of this service credit shall be granted upon request of the employee to the chief administrative officer not later than six months after the date of such appointment.

(ii) In computing consecutive years of service for the purposes of appointment or reappointment under this section, periods of leave of absence at full salary and periods of full-

time service in probationary and temporary appointments granted pursuant to this section shall be included; periods of leave of absence at partial salary or without salary and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

(3) The board of trustees may, from time to time, designate professional titles to be added to or deleted from Appendix C, *infra*.

§ 7. *Service Not Credited.* As defined in this Article, service in academic rank shall not be credited as eligible service for permanent appointment. As defined in this Article, service in professional title shall not be credited as eligible service for continuing appointment.”

VII.A.2. Permanent Appointment

The Policies of the Board of Trustees of the State University of New York Article XI, Title C states:

“§ 1. *Definition.*

(a) A permanent appointment shall be an appointment of a professional employee in a professional title which is eligible for a permanent appointment, which shall continue until a change in such title, resignation, retirement, or termination.

(b) A professional employee who serves in a professional title listed in Appendix A, B or C, *infra*, of this Article shall not be eligible for permanent appointment and shall not be covered by this Title C during service in such professional title. Such professional employee shall be appointed pursuant to the procedure in Title D of this Article.

§ 2. *Method of Appointment.* The Chancellor, after considering the recommendation of the chief administrative officer of the college concerned, may grant permanent appointment in professional title to such persons who, in the Chancellor’s judgment, are best qualified.

§ 3. *Initial Appointment.* A person who is appointed to a professional title in which permanent appointment may be granted, must be granted a temporary appointment for the first year of that person’s employment in such title when the appointment is made to a position vacated by a professional employee who is serving a probationary appointment pursuant to Title C, section 5, or Title D, section 6; otherwise the person shall be granted a term appointment, except where a temporary appointment is appropriate. Upon completion of the initial temporary or term appointment, the professional employee may be granted a further appointment in accordance with this Article. Service in a temporary appointment pursuant to this section shall be counted toward the satisfaction of the eligibility requirements for initial permanent appointment.

§ 4. *Eligibility for Initial Permanent Appointment.*

(a) Except as provided in subdivisions (a) (1), (a) (2) and (b) of this section and in paragraph (b) (2) of section 5 of this Title, at any college further employment, in a professional title in which permanent appointment may be granted, of a professional employee who has completed seven consecutive years of full-time service as a professional employee at that

college, the last two years of which have been in that professional title, must be on the basis of permanent appointment; provided, however, that such appointment shall not be effective until made so by the Chancellor.

(1) Upon completion of three consecutive years of full-time service as a professional employee at that college, the last year of which has been in that professional title, a professional employee in a title eligible for permanent appointment in any of the first four salary ranks may request early consideration for permanent appointment. Such request must be in writing and submitted to the chief administrative officer of the college no later than nine months prior to the date upon which such employee would otherwise receive written notice that a term appointment is not to be renewed upon expiration. In the event the chief administrative officer of the college grants the employee's request for such early consideration, any further employment of that employee after completion of five consecutive years of full-time service as a professional employee at that college, the last two years of which have been in that professional title, must be on the basis of permanent appointment; provided, however, that such appointment shall not be effective until made so by the Chancellor.

(2) Upon completion of four consecutive years of full-time service as a professional employee at that college, the last year of which has been in that professional title, a professional employee in a title eligible for permanent appointment in any of the first four salary ranks may request early consideration for permanent appointment. Such request must be in writing and submitted to the chief administrative officer of the college no later than nine months prior to the date upon which such employee would otherwise receive written notice that a term appointment is not to be renewed upon expiration. In the event the chief administrative officer of the college grants the employee's request for such early consideration, any further employment of that employee after completion of six consecutive years of full-time service as a professional employee at that college, the last two years of which have been in that professional title, must be on the basis of permanent appointment; provided, however, that such appointment shall not be effective until made so by the Chancellor.

(b) Additional Appointments. A professional employee holding a permanent appointment or a term appointment at one college who is appointed to a professional title at another college may be given that appointment for a term not to exceed three years.

(c) Service Credit.

(1) In determining eligibility for permanent appointment under this section, satisfactory fulltime prior service in a professional title at any one college of the University may, at the request of the professional employee and in the discretion of the Chancellor, or designee, be credited as service, up to a maximum of three years, at the time of appointment at another college. Waiver of all or part of this service credit shall be granted upon written request of the employee to the chief administrative officer not later than six months after the date of appointment at that college.

(2) In computing consecutive years of service for the purpose of appointment or reappointment of professional employees, periods of leave of absence at full salary and periods of full-time service in probationary and temporary appointments granted pursuant to this Title shall be included; periods of leave of absence at partial salary or without salary and periods of part-time

service shall not be included but shall not be deemed an interruption of consecutive service for other purposes.

§ 5. *Change in Professional Title.*

(a) A professional employee holding a term appointment or permanent appointment in professional title who is appointed to a different professional title at the same college, shall be given a probationary appointment in the different professional title.

(1) A professional employee holding permanent appointment in professional title who completes a probationary appointment in a different professional title shall be granted a permanent appointment in the different professional title only and shall not retain the permanent appointment in the former professional title.

(2) A professional employee who is serving on a term appointment in professional title and completes a probationary appointment in a different professional title shall be granted a new term appointment as appropriate in the new professional title and shall not retain a term appointment in the former professional title. The new term appointment shall be for a duration not less than the unexpired time of the previous term appointment. Service in the probationary appointment shall count toward satisfaction of the eligibility requirements for permanent appointment.

(b) At any time during the probationary appointment, the appointing authority may require the employee to return to his or her former professional title and such action shall be accomplished as soon as practicable.

(1) A professional employee holding a permanent appointment in a professional title and serving a probationary appointment in a different professional title who so returns to the employee's former professional title resumes permanent appointment in the former professional title.

(2) A professional employee holding a term appointment in a professional title and serving a probationary appointment in a different professional title who so returns to the employee's former professional title shall have service in the probationary appointment counted towards the satisfaction of the eligibility requirements for permanent appointment except as provided herein. Should such employee so return, he or she shall be granted a new term appointment in the employee's former professional title and shall not be eligible for permanent appointment in such former professional title until expiration of that term appointment at the earliest. Notice that a term appointment in this circumstance will be allowed to expire shall be given at the appropriate time prior to the expiration of that new term appointment.

(3) Basic annual salary protected. Upon returning to the employee's former professional title pursuant to this section, a professional employee shall receive his or her former basic annual salary and, in addition, any improvements thereof which would have been earned had the employee remained in that professional title."

VII.B. Annual Timelines for Professional Reviews for Reappointment and Permanent Appointment

All Professionals should have a common reappointment date of September 1.

To achieve this, the initial, or subsequent, appointment should be granted for a period such that the term appointment expires on August 31.

The following campus procedure begins with the Human Resources office notifying the supervisor (with a copy to the Professional and appropriate Vice President) 3 months in advance of the reappointment.

- 7/1: Supervisor follows procedure outlined in Appendix A-28 of the UUP Contract, Section V Evaluation Procedure of the Memorandum of Understanding Between The State University of New York and United University Professions Relating to a System of Evaluation for Professional Employees
- 7/15: Supervisor follows Appendix A-28, Section V, subsection 9 Disposition of Final Evaluation Report, including submitting their recommendation to their immediate supervisor and the professional
- 8/1: Intermediate supervisor, when 12 month notice of renewal/nonrenewal* is required, submits recommendation to the appropriate Vice President and the professional
- 8/15: Vice President submits recommendation to the President and the professional
- 9/1: President notifies the professional of the decision.

* Professionals in years 1 and 2, in Titles from Appendices A-C, or those who have a renewal date other than September 1 may have a different date of notification of renewal/nonrenewal

VII.C. Process for Evaluating Professionals for Reappointment and Permanent Appointment

Appendix A-28 of the UUP Contract details the process for evaluating Professionals in the Memorandum of Understanding Between The State University of New York and United University Professions Relating to a System of Evaluation for Professional Employees.

I. Evaluation Policy

It shall be the policy of the University to evaluate the performance of all professional employees in the Professional Services Negotiating Unit as hereinafter provided.

II. Definitions

A. The following terms shall be defined as provided in Article 4 of the Agreement between the State of New York and United University Professions: "University," "professional employee," "college president," "college."

B. "Professional position" shall mean a position in the Professional Services Negotiating Unit other than a position of academic or qualified academic rank.

C. "Immediate supervisor" shall mean the person so designated by the college president for the purposes herein.

D. "Employment status" shall include but not be limited to personnel actions involving appointments, promotion, transfer, reassignment, discretionary salary increase.

III. Purposes of Evaluation

A. The performance of each professional employee shall be evaluated in order to:

- (1) provide the college president with consultation in making a decision to renew or nonrenew a professional employee's appointment;**
- (2) provide a base for performance improvement;**
- (3) serve as a guide to reevaluate job functions;**
- (4) provide the college president with consultation in a decision as to promotions and discretionary salary increases;**
- (5) provide a basis for career growth.**

IV. Implementation of Evaluation System

A. This memorandum of understanding shall be implemented as of September 30, 1981.

V. Evaluation Procedure

A. Evaluation is a continuing process carried out on a daily basis. A formal evaluation should be the expression of this ongoing process.

(1) Responsibility

Upon initial appointment, the college president or designee shall give written notice to each new professional employee of the person designated as the immediate supervisor. Each immediate supervisor shall be responsible for evaluating the performance of professional employees who work at the supervisor's direction. Such performance evaluations shall be conducted for the purposes described in Section III above and at regular intervals as specified below.

Upon written request of the professional employee to the college president, the college president or designee shall provide written notice to the employee of the person who has been designated as the employee's immediate supervisor. The college president or designee shall provide written notice of any change in the immediate supervisor within 30 calendar days of the change.

(2) Frequency

(a) The immediate supervisor of a new professional employee shall consult with such new employee concerning a performance program and the system of evaluation within the first month of the initial appointment. The performance program shall be established within 15 working days from the date of consultation.

(b) The performance of each professional employee, without regard to employment status, shall be formally evaluated in writing by the immediate supervisor once each year during the length of the employee's appointment, and as changing conditions warrant, except where the employee is serving his or her final year of University service.

(c) If, as part of the informal ongoing evaluation process, the immediate supervisor identifies a continuing need for improvement in the employee's performance, it is the responsibility of the immediate supervisor to discuss this with the employee without delay, and with specific suggestions for improvement.

(3) Initial Consultation

The evaluation process shall begin with a discussion between the immediate supervisor and professional employee concerning the following:

- (a) The nature of the professional employee's duties and responsibilities;
- (b) Supervisory relationships;
- (c) Functional relationships;
- (d) Immediate and long-term objectives;
- (e) Criteria for evaluating achievement of objectives.

(4) Determination of Objectives and Criteria

Consistent with the professional employee's duties and responsibilities, as well as the employee's role in contributing to the aims of the University, the immediate supervisor, **after consultation with the professional employee**, shall determine the objectives to be achieved during the evaluation period. Appropriate criteria for evaluating the degree to which objectives are met shall be determined in the same fashion.

As they relate to the particular duties, responsibilities, and objectives to which the professional employee is assigned, the following criteria, **where applicable**, should be among those on which the evaluation is based:

- (a) Effectiveness in performance - as demonstrated, for example, by success in carrying out assigned duties and responsibilities, efficiency, productivity and relationship with colleagues.
- (b) Mastery of specialization - as demonstrated, for example, by degrees, licenses, honors, awards, and reputation in professional field.
- (c) Professional ability - as demonstrated, for example, by invention or innovation in professional, scientific, administrative, or technical areas; i.e., development or refinement of programs, methods, procedures, or apparatus.
- (d) Effectiveness in University service - as demonstrated, for example, by such things as successful committee work, participation in local campus and University governance, and involvement in campus-related or University-related student or community activities.
- (e) Continuing growth - as demonstrated, for example, by continuing education, participation in professional organizations, enrollment in training programs, research, improved job performance and increased duties and responsibilities.

The foregoing criteria and examples thereof are presented for descriptive and explanatory purposes only and are in no way intended to be all inclusive or to limit the immediate supervisor in the selection of appropriate criteria for evaluation.

(5) Consultation with Secondary Sources

- (a) Secondary sources are agencies, offices, or individuals which will be involved with the performance of the employee and may affect the employee's ability to achieve the stated objectives.
- (b) The immediate supervisor, after consultation with the professional employee, shall identify in the written performance program the secondary sources to be consulted as part of the evaluation process and the relationship between each secondary source and the professional employee.

(6) Performance Program

- (a) The results of discussions with the professional employee, in accordance with provisions of (3) through (5) above, shall be reduced to writing by the immediate supervisor and shall constitute the performance program on which formal evaluation for the ensuing evaluation period will be based.
- (b) Copies of this program, signed and dated by the professional employee and the immediate supervisor, shall be distributed to the professional employee and the evaluator's supervisor, and a copy shall be placed in the professional employee's personnel file. If the supervisor and the employee do not concur on the performance program, the employee has the right to attach a statement to the performance program within 10 working days from receipt.

(7) Modification of the Performance Program

As circumstances warrant, the immediate supervisor and the professional employee shall meet to review the appropriateness of elements of the performance program. Modifications in the performance program by the immediate supervisor shall be specified in writing commensurate with provisions of (3) through (6) above.

(8) Formal Evaluation

(a) Formal evaluation shall be based upon the professional employee's performance program, modified as appropriate to reflect changed circumstances.

(b) The immediate supervisor shall prepare a preliminary evaluation report and a new performance program. All evaluations shall include a summary of information from the secondary sources identified in the performance program. Commendable performance and/or areas in need of improvement may be identified. The preliminary report shall include a summary characterization of such employee's performance as "satisfactory" or "unsatisfactory." When appropriate, the report shall contain recommendations relating to: renewal or non-renewal of the professional employee's appointment; promotion; discretionary salary increase; or other actions affecting the employment status of the professional employee. In any event, the employee shall receive the recommendation made by the immediate supervisor pertaining to reappointment no later than 45 calendar days prior to the date upon which notice of non-renewal is due.

(c) The immediate supervisor and the professional employee shall meet to discuss the preliminary evaluation and a new performance program. The extent to which information from secondary sources has influenced the evaluation report shall be reviewed with the employee during this discussion. If an evaluation is characterized as "unsatisfactory," the basis for this characterization shall also be a part of this discussion.

(d) Commensurate with the provisions of (3) through (7) above and prior to concluding the discussion, the immediate supervisor and the professional employee shall discuss a new performance program.

(e) Based upon the evaluation of the professional employee in relation to such employee's performance program and based upon information obtained during discussion with such employee in accordance with (b) through (d) above, the immediate supervisor shall prepare a final written evaluation report which shall include a summary characterization of such employee's performance, any appropriate recommendations, and to which a new performance program shall be attached.

(f) The employee's signature on the final evaluation report signifies only that the employee has received and discussed it with the immediate supervisor, and does not represent agreement or disagreement with the evaluation.

(9) Disposition of Final Evaluation Report

(a) The immediate supervisor shall provide the professional employee with a dated copy of the final evaluation report as soon after completion of the evaluation process as practicable, but not less than forty-five (45) calendar days prior to the notification date for non-renewal of a term appointment for a professional employee serving on such appointment. The original written, dated and signed evaluation report shall be placed in the professional employee's personnel file, a copy of which shall be forwarded to the evaluator's supervisor.

(b) A professional employee who seeks a review of a final evaluation report characterized as "unsatisfactory" must inform in writing the immediate supervisor, the Chair of the Committee on Professional Evaluation, and the college president or designee within ten (10) working days of receipt of the report. Upon being notified that the professional employee is

requesting a review, the immediate supervisor shall, within five (5) working days, provide the Chair of the Committee on Professional Evaluation a dated copy of the final evaluation report.

(c) If the final evaluation report contains recommendations affecting a professional employee's employment status or is to be reviewed by the Committee on Professional Evaluation, it shall be sent to the college president or designee.

(d) If the final evaluation report sent to the college president is not to be reviewed by the Committee on Professional Evaluation, the college president shall take such action as is deemed appropriate with respect to recommendations contained in such report. Otherwise, action shall be delayed until the Committee on Professional Evaluation has completed its review and submitted its recommendations to the college president or designee; however, failure of the Committee to initiate and complete a timely review shall not prevent the college president from acting upon recommendations in the final evaluation report to conform with notice requirements in event of non-renewal of term appointments.

VI. College Committee on Professional Evaluation

A. Within thirty (30) calendar days after execution of the 1981 revised Memorandum of Understanding between the State University and United University Professions relating to a system of evaluation, a five-person Committee on Professional Evaluation shall be formed at each college.

The Committee shall consist of three (3) professional employees serving in positions in the negotiating unit at each college, elected at large by all of the professional employees in the negotiating unit at the college in accordance with procedures developed and implemented by the UUP chapter president. The remaining members shall be selected by the college president. The chair shall be selected by the Committee from among its members.

In the event of a resignation or the inability of a member to serve, that member shall be replaced within thirty (30) calendar days pursuant to the procedures outlined in A above.

During the period September 1 to September 30 of each year, the UUP chapter president, at his or her discretion, may choose to replace any or all members of the committee elected at large by the professional employees in the negotiating unit and cause a new election to be held pursuant to the above procedures to fill the vacancy or vacancies created. Additionally, during the same period each year, the college president, in his or her discretion, may choose to replace any or all members he or she has selected to serve on the Committee, and select a new member or members to fill the vacancy or vacancies created. The newly established Committee will commence service on October 1.

B. Process of Review

(1) The Committee on Professional Evaluation established pursuant to Section VI. A. shall, upon the timely request of a professional employee, review a final evaluation report characterized as "unsatisfactory."

(2) Committee review shall address both the procedures and substance of the unsatisfactory evaluation.

(3) As part of its review, the Committee at its discretion:

(a) shall have access to all previous formal evaluations of the professional employee concerned;

(b) may request and consider any additional comments by either the immediate supervisor or the professional employee;

- (c) may request information pertinent to the review from secondary sources;
- (d) may request that the immediate supervisor and/or the appellant meet with the Committee and respond to inquiries;
- (e) shall be free to call upon any other individual whom they believe has information relative to the evaluation. All individuals shall be encouraged to cooperate with the Committee if so requested.

C. Disposition of Committee Report

The Committee shall complete the written recommendations within twenty-five (25) working days from the date of appeal, with copies to the professional employee, the immediate supervisor, the evaluator's supervisor and the college president. Within ten (10) working days of the issuance of the report, the college president shall take such action as he or she deems appropriate and shall give written notice of such action to the professional employee, the immediate supervisor, the evaluator's supervisor and the Committee on Professional Evaluation."

VII.D. Process for Promotion and Salary Increases of Professional Staff

The process for promotion and salary increases are detailed in Appendix A-28 of the UUP Contract in the Memorandum of Understanding Between The State University of New York and United University Professions Relating to a System of Promotion and Certain Salary Increases for Professional Employees:

I. Promotion Policy

It shall be the policy of the University to give consideration for promotion to all professional employees in the Professional Services Negotiating Unit and to permit the promotion of any such professional employee as hereinafter provided.

II. Definitions

A. The following terms shall be defined as provided in Article 4 of the collective bargaining Agreement between the State of New York and the United University Professions: "University," "professional employee," "college president," "college."

B. "Professional position" or "position" shall mean a position in the Professional Services Negotiating Unit other than a position of academic or qualified academic rank.

C. "Promotion" shall mean an increase in a professional employee's basic annual salary accompanied by movement to a higher salary level with a change in title:

(1) resulting from a permanent significant increase or change in the employee's duties and responsibilities as a consequence of movement from one position to another of greater scope and complexity of function at the same or different campus; or

(2) resulting from a permanent significant increase in the employee's duties and responsibilities as a consequence of a permanent increase in the scope and complexity of function of the employee's position.

The criteria to be used in considering an employee for promotion shall be those defined in Section III, Paragraph D.

III. System of Promotion

A. Professional Ranks

The University shall establish six salary levels designated 1, 2, 3, 4, 5 and 6.

B. University Review Board

The University shall maintain a University Review Board to review appeals in accordance with appropriate provisions of Paragraph E (2) below from decisions of the college president not to make promotions of the type defined in Section II, Paragraph C(2).

C. College Review Panel

Each college president shall continue the procedure by which the professional employees shall elect a College Review Panel. Such Panel shall consist of not less than five (5) nor more than seven (7) members elected at large by all professional employees in the negotiating unit.

The Panel shall:

- (1) review applications for promotions of the type defined in Section II, Paragraph C(2) and make decisions and recommendations with respect to such applications in accordance with appropriate provisions of Paragraph E(2); and
- (2) review applications for salary increases resulting from a permanent and significant increase in duties and responsibilities which are not accompanied by a change in title or rank.

D. Criteria for Promotion

(1) The criteria to be used in considering an employee for promotion shall be those which relate to the particular type of duties and responsibilities for which the employee is being considered; for example:

(a) Effectiveness in performance - as demonstrated, for example, by success in carrying out assigned duties and responsibilities, efficiency, productivity, and relationship with colleagues. In the case of University professional employees, satisfactory supervisory evaluations of a professional employee's performance at the present level of duties and responsibilities shall be considered.

Additionally, supervisory comments on such evaluation regarding the professional employee's projected capabilities to function at an increased level of responsibility shall also be considered.

(b) Mastery of specialization - as demonstrated, for example, by degrees, licenses, honors, awards, and reputation in professional field.

(c) Professional ability - as demonstrated, for example, by invention or innovation in professional, scientific, administrative, or technical areas; i.e., development or refinement of programs, methods, procedures, or apparatus.

(d) Effectiveness in University service - as demonstrated, for example, by such things as successful committee work, participation in local campus and University governance, and involvement in campus or University-related student or community activities.

(e) Continuing growth - as demonstrated, for example, by continuing education, participation in professional organizations, enrollment in training programs, and research.

The foregoing criteria and examples thereof are presented for descriptive and explanatory purposes only and are in no way intended to be all inclusive.

E. Method of Promotion

(1) Vacant Position

(a) Promotions of the type defined in Section II, Paragraph C(1) shall be made as follows:

i) Colleges shall notify the University Office of Personnel Services of all present or potential vacancies in positions in the Professional Services Negotiating Unit which are intended to be filled. The University shall announce position vacancies of which it has been notified and shall provide proposed salary ranges, minimum qualifications, and brief descriptions of the positions. The announcements shall also specify information required from applicants for each such position and shall contain time limits for the receipt by the college of applications. All professional employees who file an application with the appropriate college within the specified time limitations shall be considered for the position for which they have applied.

ii) The college may elect to conduct personal interviews. In that event the college may select from among all applicants for a position those for whom personal interviews will be arranged. In such cases, all applicants shall be notified whether they have been selected for an interview. Applicants who are not selected for personal interviews will be advised that they will not receive further consideration for promotion to the current vacant position for which they applied.

iii) Prior to promoting or appointing the successful applicant the college shall inform all remaining unsuccessful applicants of their nonselection. The college decision shall be final, provided, however, that all promotions or appointments shall be subject to approval in accordance with Policies of the Board of Trustees.

(b) If, in the judgment of the college president, and pending the completion of the procedures described herein, an emergency exists which requires any such vacant position to be filled immediately, an employee may be offered the position on an interim basis. If the position is filled on a permanent basis by another person, such employee shall return to the employee's previous position without loss of benefits.

(c) Each college or the University, as the case may be, will make a good faith effort to comply with provisions of (a) above. The failure of any college or of the University, as the case may be, to announce position vacancies or otherwise to follow procedures in (a) above, or the failure of individual professional employees to be made aware of such announcements or to file an application for vacant positions as provided in (a) above shall not affect or operate to invalidate any promotion or appointment to such vacant positions nor shall anything contained herein be construed to require a college or the University to make promotions or appointments from among professional employees presently employed by the University.

(2) Present Position

(a) Any employee who meets the criteria defined in Section III, Paragraph D(1) may apply for promotions of the type defined in Section II, Paragraph C(2) provided that the employee first has requested a recommendation for such a promotion from the employee's immediate supervisor and the request has been denied at an organizational level below that of the college president.

(2) Present Position

(a) Any employee who meets the criteria defined in Section III, Paragraph D(1) may apply for promotions of the type defined in Section II, Paragraph C(2) provided that the employee first has requested a recommendation for such a promotion from the employee's immediate supervisor and the request has been denied at an organizational level below that of the college president.

Application for promotion must be made by completing forms to be provided by the University and submitting them to the College Review Panel.

(b) The Panel shall review all such applications for promotion. If it determines that the increase or change in duties and responsibilities under consideration does not warrant promotion, the Panel shall notify the employee. Further appeal from such determination of the College Review Panel shall not be permitted.

If the Panel determines that the increase or change in duties and responsibilities under consideration warrants promotion, it shall forward its recommendations to the college president. A copy of such recommendation shall be sent to the applicant.

The decision of the college president shall be rendered within 90 calendar days. Such decisions shall be final, provided, however, that a decision by the college president which is claimed by the applicant to be arbitrary or capricious may be appealed on such basis to the University Review Board by such person in accordance with appropriate provisions stated below. A copy of such appeal shall also be sent to the college president. In the event of such appeal the college president may forward the President's recommendation to the University Review Board. A copy of such recommendation, if any, shall also be sent to the College Review Panel and the applicant.

(c) In considering appeals from decisions of the college president not to promote which decisions are claimed to be arbitrary and capricious, the University Review Board or its designee shall: review recommendations from the College Review Panel and college president; examine the duties, responsibilities, scope and complexity of the position involved; and determine by appropriate means and standards—which may include but not be limited to tests of internal and external consistency; desk audits; and other commonly accepted review methods—whether promotion is warranted. The University Review Board's decision shall be final.

(d) Applications for promotion which are disapproved may not be resubmitted for a period of either eighteen (18) months, or until the employee's performance program has been changed, whichever is sooner, following a disapproval by the College Review Panel, by the president— or if an appeal is taken to the University Review Board—by that Board.

IV. Salary Increase

An employee who has been assigned a permanent and significant increase in duties and responsibilities as demonstrated by the employee's performance program may apply for a salary increase provided that the employee first has requested a recommendation for such a salary increase from the employee's immediate supervisor and been denied at an organizational level below that of the college president. Application for a salary increase must be made by completing forms to be provided by the University to which are attached the current performance program and the next most recent performance program and submitting them to the College Review Panel.

The Panel shall review all such applications for salary increase submitted in accord with these guidelines. If it determines that the increase or change in duties and responsibilities under consideration does not warrant a salary increase, the Panel shall notify the employee, college president and immediate supervisor. Further appeal from such determination of the College Review Panel shall not be permitted.

If the Panel determines that the increase or change in duties and responsibilities under consideration warrants a salary increase, it shall forward its recommendations to the college president.

A copy of such recommendation shall be sent to the applicant.

The decision to provide a salary increase is within the discretion of the college president and the college president's decision shall be final.

V. Notwithstanding anything contained herein a college president may:

A. with respect to the type of promotion defined in Section II, Paragraph C(2), promote or recommend for promotion, as the college president's scope of authority permits, any professional employee on the campus; and

B. make upward adjustments in the salary of individual employees."

VII. E. Job Titles, Job Descriptions, and Reclassification

VII.E.1. Titles and job descriptions

The Management Advisory Committee on Classification and Compensation (MACC) is the Guide to UUP bargaining unit Titles and Job Descriptions. A copy of this can be found at:

<http://uupinfo.org/docs/intro10.html>

VII.E.2. Reclassification

If an employee believes they belong in a different Title family (as described in section VII.E.1) than their current appointment, he/she must state the case for the reclassification in writing and submit the documentation to the supervisor. **A reclassification request is for a change in Title only, not a change in SL grade and/or salary. For a change in SL grade and/or salary refer to section VII.D, Process for Promotion and Salary Increases of Professional Staff.** The reclassification request is reviewed by the supervisor and the Director of Human Resources and, if found to be appropriate, is then sent to each of the individuals in the supervisory chain of command for approval.

VII. F. Index of Existing State-Wide Policies and Procedures of Interest to Professionals

VII.F.1. Board of Trustees Policies

Article/Section	Page nos	Topic, special area of interest
Article XI, Title C	11-13	Permanent Appointment
Article XI, Title D	13-18	Term Appointment
Article XI, Title E	18	Probationary Appointment
Article XI, Title F	19	Temporary Appointment
Appendix A to Article XI	23	Professional Titles subject to 5 year renewable terms
Appendix B to Article XI	23-24	Athletic and Coaching Titles
Appendix C to Article XI	24	Fund Raising Titles
Article XII Title C	25-26	Evaluation and Promotion of Professional Employees
Article XV Title F	34	"Study Leaves" for professional employees

VII.F.2. Contract between NYS and UUP

Article 20	21-29	Direct Compensation. <i>Please note salary minima for each SL grade level.</i>
Article 23.7.b	36	"study leaves" for professional employees
Article 30	40-41	Appointment, Evaluation and Promotion
Article 31.6.a	42	Right to access and to comment on contents of "file of evaluative material" prepared by a committee, if one exists, for recommendations concerning appointment, re-appointment, or promotion.
Article 33.2 (and following sections)	43-46	Right to Request Reasons for non-renewal of appointment if such appointment would result in permanent appointment.
Article 35	47-52	Retrenchment <i>Professional employee have certain rights under this article</i>
Article 36	52-53	Contracting Out <i>Professional employee have certain rights under this article</i>
Appendix A-13	76	Reiterates procedural steps for evaluation of professional employees found in Board of Trustees Policies
Appendix A-18	81	Certain documents, including the state's policy relating to waiver of tuition for employees of the State University and the State's policy relating to "Leave for Pregnancy, Childbirth and Child Care." are required to be made available in the UUP chapter office, the Library and the HR office.
Appendix A-28	99-104	Memorandum of Understanding Relating to Systems of Evaluation and Promotion for Professional Employees
Appendix A-29	108	Compensatory Time
Appendix A-42	117	Leave for Pregnancy, Childbirth, Adoption and Child Care