

## 220.06 COLLEGE POLICIES AND PROCEDURES OF THE ACADEMIC FACULTY FOR RENEWAL OF TERM APPOINTMENT, GRANTING OF CONTINUING APPOINTMENT AND PROMOTION

### A. Preface

The policies and procedures established herein seek to provide maximum departmental autonomy in the development of policies and criteria on personnel matters, while guaranteeing both that the standards established by the board of trustees are upheld and that candidates are treated fairly.

These policies and procedures are in accordance with the current Policies of the Board of Trustees, the current Agreement between the State of New York and UUP, and the current Compilation of Codes, Rules and Regulations, State of New York.

In accordance with the tradition of fair dealing and fair play, these policies and procedures guarantee the essential right of due process. The term, "right of due process," is used here to mean a system of clear, orderly, procedures in which the full disclosure of basic decisions and the specific reasons for those decisions are made at every stage of the process.

Decisions made by the Human Resources Office under the policies and procedures detailed herein are intended to serve the best interest of the University by providing the president with the maximum amount of information with which to make his/her decisions while at the same time protecting the basic rights of the individual faculty member by assuring her/him a fair hearing on those matters relating to her/his professional life.

It is essential that the faculty provide specific reasons why a colleague should be reappointed, given continuing appointment, or promoted rather than merely ask if reasons exist why s/he should not be reappointed, given continuing appointment, or promoted.

The success of any system of evaluation depends upon the willingness of both faculty and administrators to be candid, objective, and fair in the performance of their responsibilities. Only if this occurs can the best interest of the University be served.

Within the framework of the Trustees Policies and Agreement, the policies and procedures detailed herein shall supersede all other faculty policies and procedures dealing with renewal of term appointment, granting of continuing appointment and promotion, and where conflicts in the above mentioned documents occur, the Trustees Policies and Agreement takes precedence.

### B. General Guidelines for Academic Due Process

#### 1. Definitions

In this document the term "official file" shall refer to each faculty member's file maintained in the Provost's Office. (The official file shall be maintained in accordance with Art. 31 of the Agreement between UUP and the state of New York.) Copies of this file (except counseling memos, extra service forms etc.) are maintained in the Dean' Office and the faculty member's department. It is the faculty member's responsibility to ensure that the dean's and department's files are kept up to date.

In this document "portfolio" shall refer to the portfolio of work compiled by the faculty member and used in the personnel process.

In this document “policies” shall mean the rules governing the principles and structures of the decision-making process; procedures shall mean the process by which action is taken; and criteria shall mean the standards established for evaluating cases of renewal of term appointment, continuing appointment, or promotion.

In this document “recommendation” shall refer to a written statement conveying (a) the recommender's decision or recommended decision concerning a personnel matter; (b) the evidence and other pertinent data supporting the decision or recommended decision. Recommendations shall provide specific reasons and supporting evidence justifying why a colleague should be reappointed, given continuing appointment or promoted. For purposes of this section, "recommender" shall be defined as that person or committee obliged by these procedures to provide a personnel recommendation.

## 2. General Principles

Recommendations on personnel matters, including continuing appointment, renewal of term appointment, and promotion shall be based on:

- i. the overall record of the candidate's training, teaching, and other relevant experiences and achievement in his or her academic field and related areas. (Note: Activities that are consistent with the College's mission and strategic plan are legitimate activities within the scope of professional obligations. They should be evaluated and entered under whichever categories on the personnel action form are appropriate for the specific activities.)
- ii. service to the College, the community and to the profession while at Cortland.
- iii. and in the case of promotion, on criteria for rank-to-rank promotion approved by the Faculty Senate. The existing criteria for promotion shall be in effect until the Senate approves new criteria.
- iv. Evidence of the candidate's record will be submitted as part of a portfolio and will be used at all levels of review. This portfolio is distinct from the official personnel file maintained in the Provost's Office, as well as the copies of the personnel file maintained in the dean's and departmental offices. The contents of the official files may include confidential materials (such as recommendations from previous reviews) not necessarily contained in the portfolio, and they will be used for review only at the levels of the dean, provost and president.

A personnel committee operates under a rule of secrecy and committee members, except for the chair, shall not discuss outside of a committee meeting, a candidate or his/her case with anyone not serving on the committee, until the committee has voted on the candidate. During committee deliberations the committee chair may discuss outside of a committee meeting a candidate's case with persons not on the committee, but, when the chair does so, s/he does so at the specific direction of the committee and in accordance with these policies and procedures.

Once a committee has voted on a candidate, committee members may testify about a candidate and his/her case before the Academic Faculty Affairs Committee, and they may discuss a candidate or his/her case with a department chair, an administrator, or a grievance official. However, they shall not discuss a candidate or his/her case with anyone not involved in the personnel process.

Department chairs and members of all personnel committees shall function as independent evaluators. They shall make their decisions in accordance with the highest professional and academic principles, free from departmental, personal, or administrative pressures.

A candidate for reappointment, continuing appointment, or promotion shall have free access to departmental and school files at all times. Copies of materials placed in his/her official file shall also be included in his/her department (to be maintained by the department) and school files (to be maintained by the dean's office). Each academic faculty member shall be responsible for seeing to it that materials placed in his/her official file are also included in his/her department file and in his/her school file.

Department chairs and members of personnel committees shall make no use of private, secret files in the personnel process.

A recommendation against continuing appointment, renewal of term appointment, or promotion shall be based mainly on grounds that bear on the candidate's service to the College during his or her time at Cortland.

### 3. Candidates for Continuing Appointment, Renewal of Term Appointment, and Promotion

The candidate shall be responsible for adding to her/his portfolio any material s/he wishes to have considered in the decision-making process. In listing activities and scholarly accomplishments in his/her portfolio, the candidate shall adhere to the Code of Ethics (Section 220.10) and give credit where it is due.

The candidate shall be notified in writing, at least five working days before his/her qualifications are to be reviewed by any faculty committee and given an opportunity to appear before the committee or send a campus colleague to speak for him/her.

The candidate shall be provided with a copy of all recommendations and decisions at each formal stage of the decision-making process.

Candidates shall refrain from exerting pressure on department chairs and personnel committee members. Similarly, faculty members shall not exert pressure on department chairs and personnel committee members on behalf of colleagues.

Any faculty member having questions regarding the review process or problems deriving from it shall take them to the appropriate department chair and or personnel committee chair for resolution. Should those questions or problems remain unresolved, the faculty member may request assistance from the Academic Faculty Affairs Committee. The Committee shall in accordance with the UUP Agreement and after consultation with the UUP Grievance Chair either attempt to resolve the faculty member's perceived problem under the faculty bylaws or refer him/her to some administrative or faculty agency which can resolve it.

(Approved by the Senate, Feb. 21, 1984, and by President Clark, April 11, 1984)

### C. Departmental Policies, Procedures and Criteria on Renewal of Term Appointment, Continuing Appointment, and Promotion

#### 1. Formulation of Policy

Each department shall develop personnel policies, procedures and criteria on personnel matters consistent with the policies of the Board of Trustees, with the Agreement, and with the policies, procedures and criteria adopted by the faculty. It shall be the responsibility of the department chair to submit such policies, procedures and criteria and any revisions thereof to the Academic Faculty Affairs

Committee for that committee's determination that said policies, procedures and criteria are in conformity with Board of Trustees and College Handbook procedures and criteria. This determination shall be by majority vote of the Academic Faculty Affairs Committee. The chair of the Academic Faculty Affairs Committee shall inform the department chair of the committee's decision and shall keep on file all records pertaining to the matter.

If the Academic Faculty Affairs Committee finds a department's personnel policies, procedures and criteria to be in violation of the College Handbook, the Policies of the Board of Trustees, or the Agreement between the State and the bargaining agent, the Academic Faculty Affairs Committee shall indicate the specific points of violation after which the department shall revise its personnel policies, procedures and criteria and resubmit them to the Academic Faculty Affairs Committee for approval.

Department policies, procedures, and criteria should be on file in the office of the appropriate dean and of the provost.

## 2. Alternate Departmental Promotion Criteria

If in the judgment of the department the criteria adopted by the Faculty Senate for rank-to-rank promotion (see Section 230.04) do not meet the unique needs of the department, the department may follow this procedure:

1. Submit its own set of criteria to the Academic Faculty Affairs Committee as an exception to the faculty criteria, taking care to provide documentation and justification warranting the granting of an exception.
2. The Academic Faculty Affairs Committee shall consider the criteria as an exception to the faculty criteria (Section 230.04) and shall submit the alternate criteria to the Senate for consideration.
3. By majority vote the Senate may recommend that the president consider accepting the department's criteria as a necessary and comparable substitute for the faculty criteria for rank-to-rank promotion.
4. The president will meet with representatives of the department in question (as well as with as s/he deems necessary) and discuss the reasons for the alternate criteria. If the president should decide to accept the department's alternate criteria for promotion, s/he should so inform the Senate and these would become the basis for all recommendations on rank-to-rank promotions for that department, by the department committee, department chair, school or committee, school dean and provost.

## 3. Departmental Policies and Procedures

Departmental policies and procedures shall be clear as to the basic procedures the department plans to observe in making personnel decisions, and shall observe all the procedures for due process established in the College Handbook to protect the rights of individual faculty members.

The specific criteria developed by the department shall include some definition of those matters which the department principally considers in making its recommendations.

The policies, procedures and criteria shall reflect due regard for the character and needs of the College and department and shall be offered as indicative and descriptive rather than narrowly binding.

These policies, procedures and criteria shall be approved by the respective department through secret ballot and majority vote of the voting members of the department as defined by the Board of Trustees Policies and College Handbook.

These policies, procedures, and criteria shall be reaffirmed or revised at least once every three years by the department approved voting procedures. After revision of the policies, procedures, and criteria, the department chair shall submit such revisions to the Faculty Affairs Committee for its approval.

All departments shall include, within their personnel policies, provisions concerning eligibility to vote, in all departmental actions provided for in their department personnel policies and procedures, by members of the department who are on leave of absence, sabbatical leave, or other recognized forms of leave. Each department shall forward to the Faculty Affairs Committee said provisions.

(Approved by the Faculty Senate, Nov. 28, 1995 and by President Taylor, Dec. 4, 1995)

Copies of these policies, procedures, and criteria when reaffirmed or revised, shall be issued to all members of the department, the school personnel committee, the dean, the provost and the president.

#### D. Departmental Recommendations

##### 1. Personnel Committee

By Sept. 15 each department shall establish a standing personnel committee on renewal of term appointment, continuing appointment, and promotion. By vote of the department, a department with seven or fewer full-time members has the option of operating as a personnel committee consisting of all the members of the department, with or without the department chair. When a department chooses to act in this manner, those departmental members may serve on divisional personnel committees. By unanimous vote of the full-time members of the department with unqualified academic rank, a larger department has the option of operating as a personnel committee consisting of all the full-time faculty members with unqualified academic rank. This vote shall be taken annually in September for departments with more than seven full-time members. In this case, neither the department chair nor the departmental representative to the school personnel committee shall have a vote on the committee of the whole. In departments with eight or more faculty members, the chair will not serve on the departmental personnel committee.

Membership on departmental personnel committees shall be limited to full-time academic faculty members with unqualified academic rank.

Eligibility for membership and term of membership on the personnel committee shall be determined every three years by a majority of the voting members of the department as expressed by secret ballot. Each department shall establish in its policies the procedures for selecting a chair of its personnel committee.

##### 2. General Procedures

The chair of the departmental committee and the chair of the department, or in the library, the director of libraries, shall apprise the candidate for continuing appointment, renewal of term contract or promotion of the impending deliberations and need for decisions at least two weeks before the deliberations, in writing, to assure that the candidate has an opportunity to update his/her files and/or otherwise further his/her own interests appropriately.

Members of the departmental personnel committee and the department chair will limit their evaluation to the materials included in the portfolio submitted by the candidate and will use no other materials in their evaluation of the candidate. Hence, each academic department is encouraged to include a list of

recommended materials to be included in a candidate's portfolio, enabling the candidate the opportunity to submit materials that would be expected by the departmental committee.

Committee decisions on recommendations shall be made by secret ballot and majority vote with a reasonable interval of at least one day but not to exceed one week allowed between the close of committee discussion and the deadline for balloting to permit each committee member judicious consideration of all factors pertinent to her/his decision.

In the event that the candidate is a member of the committee, s/he shall abstain from deliberation and voting in his/her own case.

Following committee action, the chair of the committee shall prepare a written statement that states the recommendation, the specific reasons for it, the voting procedures and the record of the vote. Copies of this statement shall be submitted to the candidate and to the department chair, or in the library, to the director of libraries.

If a candidate adds to her/his portfolio at any time once the portfolio has been submitted, the addition must be documented in a dated memo with reasons given for the addition. Once submitted, no documents can be taken from the portfolio.

### 3. Procedures for Continuing Appointment and Renewal of Term Appointment

In matters of continuing appointment and renewal of term appointment the recommendation of the department committee shall be submitted in writing to the candidate and to the chair of the department. In the library, the recommendation of the Library Personnel Committee shall be submitted in writing to the candidate and to the director of libraries.

The chair of the department shall submit the recommendation of the department personnel committee and his/her recommendation on continuing appointment or renewal of term appointment and the specific reasons for it in writing to the chair of the school personnel committee. At the same time he/she shall submit copies of his/her recommendation and the specific reasons for it to the candidate and the chair of the department personnel committee. In the library, the director of libraries shall affix his/her recommendation and his/her specific reasons for it to the recommendation of the Library Personnel Committee and submit these to the associate provost for information resources who shall affix his/her recommendation and submit these to the provost. At the same time s/he shall submit copies of his/her recommendation and the specific reasons for it to the candidate and the chair of the Library Personnel Committee.

### 4. Procedures for Promotion

Faculty members who wish to be considered for promotion compile and submit a portfolio of work and submit the same to the department personnel committee by the appropriate deadline.

Once the department personnel committee has reviewed the portfolio, it shall forward its recommendations and specific reasons for them to the chair of the department. A copy of the committee's recommendation, along with the specific reasons for the recommendation, shall be sent to the candidate for promotion. In the library, once the Library Personnel Committee has completed its deliberations on promotion, it shall forward its recommendations and specific reasons for the recommendation, accompanied by supporting documents and evidence, to the director of libraries.

The chair of the department shall submit the recommendation of the department personnel committee and her/his recommendation on promotion and the specific reasons for it in writing to the chair of the school personnel committee. At the same time s/he shall submit copies of her/his recommendation and the specific reasons for it to the candidate and the chair of the department personnel committee. In the library, the director of libraries shall affix her/his recommendation and her/his specific reasons for it to the recommendation of the Library Personnel Committee and submit these to the associate provost for information resources who shall affix his/her recommendation and submit these to the provost. At the same time s/he shall submit copies of her/his recommendation and the specific reasons for it to the candidate and the chair of the Library Personnel Committee.

## E. School Review

### 1. Membership of the School Personnel Committee

Members of the school personnel committees shall serve as representatives of the interest of their departments, schools, and the College as a whole.

The professional studies School Personnel Committee shall consist of one representative from each department within the school.

The education school personnel committee shall consist of one representative from each department within the school.

The subschool personnel committees of the arts and sciences (grouped according to department alignment in 150.03, Article VI, Section A, No. 2, a., b., and c. and No. 3, a. and b.) shall consist of one member from each department. For each vacancy for a department representative the respective department shall nominate at least two candidates and shall elect one by secret ballot. Election for all vacancies shall be by majority vote by secret ballot of the members of the department voting. The departments shall elect alternates in the same manner. However, should only one candidate be available for departmental representative and should two-thirds of the voting members of the department indicate by secret ballot that the candidate is acceptable to them, s/he shall be the departmental representative.

Membership on school personnel committees shall be limited to full-time, tenured, academic faculty members with unqualified academic rank.

School and subschool committee members shall take office by Oct. 15.

Members of the school and subschool personnel committees shall serve staggered two-year terms and may not serve two consecutive terms.

Department chairs, acting department chairs, deans, assistant deans, and associate deans shall not be eligible for election or appointment to the school or subschool personnel committees. In departments of eight or more members, department personnel committee members shall not be eligible for election or appointment to the school or subschool personnel committees.

### 2. School Review

In the matter of promotion the school committee shall weigh the evidence in the candidate's portfolio and make its own independent recommendation accordingly.

In the matter of continuing appointment and reappointment, the school committee shall review the evidence contained in the candidate's recommendation and portfolio, along with any supplemental materials that the candidate may submit to it and make its recommendation accordingly. However, should the school committee question the professional qualifications of the candidate or the procedures used by the department in evaluation of him/her, it shall consult, at least, with the candidate's departmental personnel committee before making an independent recommendation on the candidate.

The school personnel committee will use the letters of recommendation from the departmental personnel committee and chair, and material contained in the portfolio only, along with any supplemental materials that the candidate may submit to it, for the purposes of evaluation. This committee will make use of no other materials during its evaluation.

Decisions on recommendations shall be made finally by secret ballot and majority vote with a reasonable interval of at least one day but not to exceed one week allowed between the close of committee discussion and the deadline for balloting to permit each committee member judicious consideration of all factors pertinent to his/her own decision.

In the event that the candidate is a member of the committee s/he shall be replaced by his/her alternate.

The chair of the school committee shall affix to the candidate's portfolio the committee's recommendation, the specific reasons for the recommendation, the voting procedures, and the record of the vote and forward the material to the dean. At the same time, the chair of the committee shall send copies of the recommendation, the specific reasons for it, the voting procedures, and the record of the vote to the candidate, the department chair, and the chair of the departmental personnel committee.

On personnel matters referred to the dean from the school committee, the dean shall make a recommendation and provide reasons for the recommendation. In matters of promotion s/he will transmit the candidate's materials, her/his recommendation and reasons for it to the provost. In matters of renewal of term appointment and continuing appointment, s/he will transmit the candidate's materials, his/her recommendation and reasons for it to the provost. In all cases the dean shall send copies of his/her recommendation and the reasons for it to the candidate, the department chair, the chair of the department personnel committee, and the chair of the school personnel committee.

Should the school dean or director of libraries make use of a solicited document, not used at a previous level of evaluation, in evaluating a candidate s/he shall, when feasible, inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it, before making a recommendation on her/him. The school dean shall in all cases act in accordance with Art. 31 of the Agreement between UUP and the State of New York. Candidates are encouraged to familiarize themselves with this article.

Should the school dean or director of libraries make use of an unsolicited document, not used at a previous level of evaluation, in evaluating a candidate, s/he shall fully disclose the information contained in that document to the candidate and allow the candidate a reasonable time to respond to it, before making a recommendation on her/him. The dean shall decide whether it is appropriate to reveal the name of the author of the document to the candidate.



## F. Policies and Procedures of Managerial Faculty

### Policies and Procedures

The deans, the director of libraries, the associate provost for information resources, the provost and the president shall make all personnel decisions in accordance with the principles of "due process."

Should the associate provost for information resources make use of a solicited document, not used at a previous level of evaluation, in evaluating a new candidate, s/he shall inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it (within the time constraints of Section 210.05), before making a recommendation on him/her. The associate provost for information resources shall in all cases act in accordance with Art. 31 of the Agreement between UUP and the State of New York. Candidates are encouraged to familiarize themselves with this article.

i. Should the associate provost for information resources make use of an unsolicited document, not used at a previous level of evaluation, in evaluating a candidate, s/he shall fully disclose the information contained in that document to the candidate and allow the candidate reasonable time to reply to it (within the time constraints of Section 210.05) before making a recommendation on her/him. The associate provost for information resources shall decide whether it is appropriate to reveal the name of the author of the document to the candidate.

ii. Except in recommendations for or against a renewal of term appointment the associate provost for information resources shall provide reasons for his/her recommendation on the candidate. S/he shall send copies of his/her recommendation to the candidate, the director of libraries and the chair of the department committee.

Should the provost make use of a solicited document, not used at a previous level of evaluation, in evaluating a new candidate, s/he shall inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it (within the time constraints of Section 210.05) before making a recommendation on her/him. The provost shall in all cases act in accordance with Art. 31 of the Agreement between UUP and the State of New York. Candidates are encouraged to familiarize themselves with this article.

i. Should the provost make use of an unsolicited document, not used at a previous level of evaluation, in evaluating a candidate, he/she shall fully disclose the information contained in that document to the candidate and allow the candidate reasonable time to reply to it (within the time constraints of Section 210.05) before making a decision on her/him. The provost shall decide whether it is appropriate to reveal the name of the author of the document to the candidate.

ii. Except in recommendations for or against a renewal of term appointment, the provost shall provide reasons for his/her recommendation on the candidate. He/she shall send copies of his/her recommendation to the candidate, department chair, the chair of the department committee, chair of the school personnel committee and the appropriate dean. In the Library, copies shall be sent to the candidate, the chair of the department committee, the director of libraries and the associate provost for information resources.

Should the president make use of a solicited document, not used at a previous level of evaluation, in evaluating a candidate, s/he shall inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it (within the time constraints of Section 210.05) before making a decision on her/him. The president shall in all cases act in accordance with Art.

31 of the Agreement between UUP and the State of New York. Candidates are encouraged to familiarize themselves with this article.

- i. Should the president make use of an unsolicited document, not used at a previous level of evaluation, in evaluating a candidate, he/she shall fully disclose the information contained in that document to the candidate and allow the candidate reasonable time to reply to it (within the time constraints of Section 210.05) before making a decision on her/him. The president shall decide whether it is appropriate to reveal the name of the author of the document to the candidate.
- ii. Except in decisions for or against a renewal of term appointment the president shall provide reasons for his/her decision on the candidate. He/she shall send copies of his/her decision to the candidate, department chair or director of libraries, the chair of the department personnel committee, the chair of the school personnel committee, and the appropriate dean. In the Library, copies shall be sent to the candidate, the chair of the department committee, the director of libraries and the associate provost for information resources.

#### G. Enabling Provision

The original document was ratified by a referendum of the academic faculty in December 1976 (Senate Minutes of Jan. 25, 1977). The amendments to the document were approved by the Faculty Senate on April 8, 1980 and on Sept. 22, 1981; and approved by President Clark on May 6, 1980 and on Oct. 8, 1981.

## CHAPTER 230: Criteria for Promotion of Academic Faculty

### 230.01 College Guidelines for Promotion

### 230.02 Educational Qualifications for Promotion

### 230.03 Promotion Criteria

### 230.04 Application of Promotion Criteria

### 230.05 External Review Promotion Process

#### 230.01 COLLEGE GUIDELINES FOR PROMOTION

Promotion to any rank above that of instructor serves as a form of recognition of individual merit and thereby strengthens individual departments, the College and the University. With respect to individual merit, promotion should be regarded both as recognition that an individual has achieved and maintained a level and quality of professional excellence appropriate to the rank sought and as a judgment that the individual is capable of maintaining and improving that level of work in the future. Recommendations for promotion should, therefore, provide specific reasons why a colleague should be promoted rather than merely ask if reasons exist why s/he should not be promoted. In light of these considerations, not all faculty members should expect to receive promotion to senior ranks during the course of their career at the College.

#### 230.02 EDUCATIONAL QUALIFICATIONS FOR PROMOTION

A. A faculty member must possess the doctoral degree or its equivalent as defined in section B, below, in order to be eligible for promotion beyond the rank of instructor, except as provided in Section C, below..

B. As used in this document, the term “appropriate degree” shall refer to:

the conventionally defined Ph.D., Ed.D., D.P.E., or similar academic degree,

foreign degrees ruled equivalent by the appropriate SUNY agency.

degrees widely recognized as terminal in a given profession (e.g. J.D., M.F.A., M.L.S., M.B.A.)

degrees or other educational qualifications defined by the Academic Faculty Affairs Committee suitable for the purpose of rank-to-rank promotion.

Degree granting institutions should be recognized by the appropriate accrediting bodies or a SUNY agency.

C. Under exceptional circumstances a faculty member lacking an appropriate degree may offer an equivalent body of independent scholarship or creative work in order to demonstrate a mastery of subject matter sufficient to be considered for promotion. Such a body of scholarship would ordinarily include a published monographic work or a series of articles or papers in scholarly journals. A faculty member in the performing or fine arts, or in a comparable discipline, may offer a body of creative work that has received independent College Guidelines for Faculty professional recognition. In all cases, the burden of proof that the body of work is truly equivalent rests with the faculty member and with the recommending department.

The educational qualifications set forth in paragraphs 3, 4 and 5 of section 230.03 may be waived only for those faculty members who satisfy the requirements set forth in section 230.03, paragraph 8.

#### 230.03 PROMOTION CRITERIA

As used in this document, the term criteria shall mean the standards established for evaluating candidates for promotion.

Any instructor, assistant professor, or associate professor who meets the educational qualifications set forth above and who satisfies the criteria for the next higher rank shall be eligible for promotion.

Criteria for rank of assistant professor shall include:

- a. A demonstrated ability (i) to organize and carry out courses of instruction in a manner that is intellectually sound and effective in terms of student learning, and (ii) to assume a broad range of professional responsibilities for the educational development of students.
- b. A demonstrated ability to undertake a potentially productive program of intellectual inquiry, research, or creative work. (The completion of the appropriate degree will normally satisfy this criterion.)
- c. A demonstrated willingness to accept and discharge service responsibilities within the department or the College or to the community.

Criteria for the rank of associate professor shall include:

- a. A demonstrated and continuing ability (i) to develop areas of instruction in a manner that is intellectually sound and effective in terms of students learning, and (ii) to discharge in an effective manner a broad range of professional responsibilities for the development of students.
- b. A demonstrated ability to undertake and successfully carry out a productive program of intellectual inquiry, research or creative work and to do so with a degree of intellectual or creative excellence.
- c. A demonstrated and continuing service to the department and the College, the University or community in a manner that makes a significant contribution to the overall excellence of the institution and to the community of which it is a part.

Criteria for the rank of professor shall include:

- a. A demonstrated and continuing ability (i) to develop areas of instruction in a manner that is intellectually excellent and significantly effective in terms of student learning, and (ii) to make a substantial contribution to the educational development of students.
- b. A demonstrated and continuing ability to undertake and successfully carry out a serious and productive program of intellectual inquiry, research or creative work and to do so in a way that makes a contribution to the intellectual, scholarly or artistic community.
- c. A demonstrated and continuing service to the department and the College, the University or the community in a manner that makes a significant contribution to the overall excellence of the institution and to the community of which it is a part.

The criteria contained in paragraphs 3-5 should not be interpreted to exclude any meritorious service not mentioned that contributes to the achievement or excellence in the areas of scholarly activity, teaching and university service.

For disciplines to whose activities the above criteria cannot be reasonably adapted, equivalent criteria shall be determined by the discipline or department in question and approved by a properly designated

faculty body. In all cases, the burden of proof that the criteria are equivalent shall rest with the discipline or department in question.

A person who does not meet the criteria described above may be eligible for promotion if exceptional circumstances are judged to warrant advancement. Such circumstances could include an exceptional record of achievement in the areas of teaching and service, combined with evidence of a satisfactory record of scholarly activity. The burden of proof that such achievements are of truly exceptional quality rests with the faculty member and with the recommending department.

#### 230.04 APPLICATION OF PROMOTION CRITERIA

In this document the term recommendation shall refer to a written statement conveying (a) the recommender's decision or recommended decision concerning a personnel matter; (b) the specific reasons for the recommended decision or decisions; (c) the evidence and other pertinent data supporting the decision or recommended decision. Recommendations shall provide specific reasons and supporting evidence justifying why a colleague should be promoted. For purposes of this section "recommender" shall be defined as that person or committee obliged by the College policies and procedures to provide a personnel decision or recommendations.

Evidence of accomplishments in scholarship, teaching and service, since the time of initial appointment or since the last promotion, whichever is more recent, shall be given primary consideration in all recommendations.

Recommenders shall take into consideration all supporting evidence presented by the candidate or by the recommending department. Examples of the types of evidence ordinarily considered appropriate in each area are listed below. (Note: activities that are consistent with the College's mission and strategic plan are legitimate activities within the scope of professional obligations. They should be evaluated and entered under whichever categories on the personnel action form are appropriate for the specific activities.);

These lists should not be taken to exclude any evidence of meritorious accomplishment not specifically mentioned. While some types of evidence may be more important than others, it is the function of the recommender to judge the weight and quality of each item of evidence.

##### a. Teaching

student evaluations of courses and field work
student recommendations
colleague observations
recognition by colleagues
independent student scholarship
curriculum development
off-campus recognition

academic advisement and counseling
contribution to institutional change
interdisciplinary instruction
honors and awards for teaching
course development
work with student organizations
developing instructional materials
postgraduate student performance
course outlines
internationalization and globalization
outdoor and environmental education
development of service-learning courses, and in the integration of teaching with service
integration of undergraduate research, including community-based research
participation in learning communities
multiculturalism, diversity and inclusion
civic education
sustainability

b. Scholarly, Intellectual and Creative Achievements

books, monographs, edited books
presentations of papers and research reports
completion of unpublished work
encyclopedia entries
artistic achievements as demonstrated by recitals, shows, performances and exhibitions
editorial service for scholarly journals
community-based research
reviews of manuscripts and books in the discipline

grant awards and fellowships
reputation among colleagues as demonstrated by letters, citations, reviews and other honors
participation in proceedings or learned societies
consultative work or institutional research enhancing one's scholarship
speeches, workshops, presentations
service to professional and learned societies
scholarly work that involves developing students as scholars
research and publications on pedagogy
research and publications pertaining to curricular development
scholarship that integrates teaching and/or service

c. Service to the Department, College and University

administrative work
faculty governance
service to off-campus populations
contribution to institutional change
institutional research
work with the community, including community-based research
external reviews
integration of service with scholarship and/or teaching

4. Using the criteria set forth above, all recommendations shall be based upon qualitative as well as quantitative considerations in the areas of scholarly activity, teaching, and university service. Primary but not exclusive weight shall be given to the areas of scholarly activity and teaching, except as provided in paragraph 230.03 (8). In evaluating a candidate's work to determine whether a favorable recommendation is warranted, all recommenders shall consider and all recommendations shall explicitly address the following questions and provide supporting evidence with respect to scholarly activity, teaching, and university service, unless promotion is sought under the exception established in paragraph 230.03 (8):

Has the candidate's past work achieved a level and quality of excellence appropriate to the rank sought?

Does the candidate demonstrate promise of continuing growth and continuing excellence in the future?

(Approved by President Jones, Feb. 6, 1978)

## 230.05 EXTERNAL REVIEW PROMOTION PROCESS

### 1. Definitions and Statement of General Philosophy

As used herein, External Review will refer to the solicitation of an evaluation of the scholarly, intellectual and creative achievement as outlined in Section 230.04 by qualified professionals from outside SUNY Cortland. Unless otherwise indicated, the term professor or librarian will refer to the rank beyond associate professor or associate librarian, that is, the rank of full professor or full librarian.

The External Review Promotion Process applies only to those individuals who have begun their tenure-track academic appointment at SUNY Cortland after Aug. 15, 2009, and are applying for promotion from associate professor or associate librarian to professor or librarian. This external review process will be evaluated by the Faculty Senate within six years of its first application.

Individuals in the review process are expected to bear in mind the broad mission of SUNY Cortland, the definition of professional obligation contained in the Policies of the Board of Trustees, the diversity of disciplines and of departmental practices, and the weight significance of past practices when including external review in their processes. Recommending bodies (i.e., departmental personnel committees, school personnel committees) and individuals (i.e., chairs of departments, the director of libraries, deans, provost and president) shall take care that undue weight is not given to letters from external reviewers. They shall not be regarded as determinative, but as providing additional data for the candidate's promotion application. The goal of the External Review Promotion Process is to provide another perspective on the candidate's promotion application for the benefit of the candidate, personnel review committees, and recommending individuals at the College.

### 2. External Review Promotion Process Requirements

Each department is required to develop its own external review policies to include in their personnel policies. The department policies will conform to these parameters:

The external review policies are required only for individuals applying for promotion from associate professor or associate librarian to professor or librarian.

The candidate will have the responsibility for selecting the reviewers and soliciting and receiving the external letter(s) of review, ability to review those letter(s), and responsibility for including them with the promotion application.

To provide context for their review, external evaluators shall be provided with a copy of Chapter 230: Criteria for Promotion of Academic Faculty (inclusive of sections 230.01-230.05).

No more than three letters shall be required under the provisions of this External Review policy. Departments may stipulate as few as one letter be required in their promotion policies.