



## ADMINISTRATIVE UPDATE

**FROM:** Bruce C. Bongarten, Provost and  
Vice President for Academic Affairs

**DATE:** 11/24/08  
**VOL.** 2008      **NO.** 11

**TO:** Department Chairs and Director of Library

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**SUBJECT:** Academic Staff Annual Reporting and Evaluation Procedures for  
Personnel Action Recommendations – 2008-09

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### I. Evaluation Procedures for Personnel Action Recommendations

#### A. Documentation

Annual reports and other supporting materials of individuals being considered for promotion, reappointment, or continuing appointment should be reviewed by a peer review committee comprised of faculty members in the unit senior<sup>2</sup> to the individual under consideration, supplemented with similarly ranked members of the College faculty as prescribed in Unit peer review procedures. The annual reports and other appropriate documents, including the portfolio initiated and developed by the employee under review, will serve as the basis for recommendations from the peer review committee to the Department Head. All evaluations should be based on, but not necessarily limited to, the following areas:

1. Mastery of subject matter--as demonstrated by such things as advanced degrees, licenses, honors, awards, and reputation in a subject matter field.
2. 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.
3. Scholarly ability--as demonstrated by such things as success in developing and carrying our significant research work in the subject matter field, contribution to the arts, publication and reputation among colleagues.
4. 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.
5. 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.

It is the College policy that the peer review committee report should consist of a one-line recommendation and a statement regarding the candidate's strengths and weaknesses relative to the specific personnel action under consideration. While materials available for review must support such comments, no additional characterization should be made.

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## B. Solicited Materials Procedures

It is College policy that reviews for continuing appointment include at least two evaluations and recommendations by reviewers from outside the College selected by the peer committee from a roster supplied by the employee. Additional external reviewers to be solicited may be identified by the peer committee or the Department Head. Through a process similar to the above, external review may be included in promotion cases wherever deemed appropriate by the peer review committee or the Department Head. The Department Head is encouraged to make his/her views known to the peer review committee on desirable supplemental external reviewers. The following procedures must be used when the peer review committee solicits written evaluations and recommendation for an academic employee under consideration for continuing appointment, reappointment or promotion (Article 31 of the New York State - UUP Agreement):

1. Send the "Solicited Materials Form" along with any request for materials from an internal or external reviewer.
2. Develop and maintain a roster of the individuals solicited as well as retain copies of all requests for information.
3. Accept the YES or NO answers on the completed "Solicited Materials Form" as the only input by the reviewer, which can authorize the sharing of the material with the employee.  
A supply of the "Solicited Materials Form" to be used will be forwarded to you under separate cover by the Office of Personnel, as required.
4. Staple completed forms to the respective materials returned. When no form is returned with materials, there will be a presumption that the reviewer has not authorized the sharing of materials. Those materials will NOT be shared with the employee.
5. In no event will materials that are both unsolicited and unsigned be made a part of any evaluation and recommendation process. Solicited materials will be made available to the candidates only as so indicated on the authorization form.

## C. Processing Recommendations

Each Department Head shall take appropriate steps to publicize the schedule for the review procedure, to establish peer review committees, to invite candidates to participate, to meet all schedule deadlines, and to certify adherence to procedures. Schedules should be set as follows:

November, 2008 - Notification of Process Initiation

November 24, 2008 - Candidates Identified/Confirmed Peer Review Committees established.

Each Department Head shall notify each academic faculty member who must be reviewed for reappointment or continuing appointment that he or she is a candidate for such personnel action. This notification shall be in written form by December 2, 2008. By December 23, 2008 the Department Head shall provide written notification to the Vice President for Academic Affairs that such a notice has been made and provide a written roster of the membership of a faculty committee who will review and make recommendations on the proposed personnel action [for continuing appointment reviews include peers outside of the College whenever appropriate].

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After consultation with appropriate faculty each Department Head shall notify each academic faculty member who is believed to be a viable candidate for promotion or continuing appointment (applies only at Associate Professor level) that he or she is invited to become a formal candidate for such personnel action. This notification shall be in written form by December 2, 2008. By December 23, 2008 the Department Head shall provide written notification of this roster of candidates to the Vice President for Academic Affairs and of the membership of a faculty committee(s) who will review and make recommendations on the proposed personnel action [for continuing appointment reviews include peers outside of the College whenever appropriate].

Faculty who are not extended such an invitation, however, who wish to be so considered, must notify their Department Head in writing by December 9, 2008, of their desire to have their credentials reviewed for possible personnel action. After consultation with appropriate faculty, by December 23, 2008 the Department Head shall delineate the roster of candidates proposed for personnel actions.

November 2008 through February 9, 2009 - Candidates submit required materials for personnel action to Review Committee.

February 9, 2009 - Annual Reports of each employee under review for personnel action submitted to Department Head

March 10, 2009 - Peer Review Committee Reports submitted to Department Head

March 24, 2009 - Department Head forwards recommendations to Provost and Vice President for Academic Affairs, as appropriate, and transmits copy of recommendation to candidate.

When submitting his/her recommendation regarding a proposed personnel action, Department Head shall include a written statement, which addresses whether or not all appropriate unit and College policies, as delineated in Administrative Update, Vol. 2008, No. 11, have been followed.

1. While the peer review and recommendation procedures may vary among academic units, a separate, written recommendation regarding each candidate under review should be transmitted from the reviewing faculty group to the Department Head. The Department Head receiving recommendations from a reviewing faculty group should add a separate written recommendation for each candidate.
  - a. For each candidate under review for appointment renewal or continuing appointment and for each candidate for academic promotion whose review carries positive management administrative and peer group recommendations, the annual reports and other supporting material are to be transmitted to the Provost and Vice President for Academic Affairs by March 24, 2009. Such recommendations should not include discretionary salary recommendations. A copy of the written recommendation prepared by a Department Head is to be transmitted to the affected faculty member at the time it is prepared.

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b. For each candidate under review for academic promotion whose recommendations are either both negative at the management/administrative and peer committee level or divided but deemed by the Department Head as insufficiently positive for further consideration; no recommendation shall be forwarded. A copy of the written recommendation prepared by the Department Head, including the statement that the recommendation will not be forwarded, is to be transmitted to the affected faculty member at the time it is prepared. After review by the affected faculty member, the Department Head shall consult with the Director of Human Resources and obtain confirmation that all appropriate unit and College policies as delineated in Administrative Update, Vol. 2008, No. 11 have been followed. Also in consultation with the Director of Human Resources the evaluation file shall be stored appropriately at the unit level and not forwarded to the Provost and Vice President for Academic Affairs.

2. Based upon the review and evaluation of all recommendations, annual reports, and other supporting materials, the Provost and Vice President for Academic Affairs will formulate a recommendation to submit to the President. The employee will be provided with a copy of the recommendation formulated by the Provost and Vice President for Academic Affairs and notified that if a written response from the faculty member is not received by the Provost and Vice President for Academic Affairs within one week, the final recommendation will be forwarded to the President.

#### D. Evaluative File Review

Article 31.6 of the Agreement entitles the candidate for continuing appointment, reappointment or promotion to review and file a statement in response to any item in the evaluative file developed by any committee of academic employees which exists to evaluate and make recommendations with respect to the personnel actions indicated above. The peer review committee report shall be included in the file. Such review will be subject to the restrictions related to solicited materials. This review will take place after the President or the last administrative management officer of the College receives the file. Article 31.1(b) states that following examination of the written evaluations and recommendations, a staff member who has completed three or more consecutive years of service in a position of academic rank shall, upon written request, be entitled to a meeting with the person or persons in a group who prepared the evaluations and recommendations<sup>3</sup> which pertain to continuing appointment and reappointment.

Operationally, the process is as follows:

<u>Peer Review Committee</u>	<u>Department Head</u>	<u>Provost</u>	<u>President</u>
	If no further action is taken, evaluation file is available to candidate at this point.	If no further action is taken, evaluation file is available to candidate at this point	Candidate sees evaluation file

#### E. Final Determinations

Throughout the evaluation process, verbal consultation at all appropriate levels of organization is required to assure that personnel recommendations are consistent.

Final decisions and/or recommendations on personnel actions will be made by the College President and communicated to the appropriate Department Head and academic staff member as soon as practical.

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## F. Superintendence

The Department Head will superintend the implementation of unit peer review policies and procedures from: initiation of the process with the employee under review and the peer review committee through the scheduling of activities and of information flow in the unit peer review procedures to certification to the Provost and Vice President for Academic Affairs that all appropriate unit and College policies have been followed. While unit policies may call for delegation of a substantial number of tasks noted above, the Department Head may not delegate initiation or certification of the process.

## III. Other Procedural Issues

The Office of Human Resources is the primary resource for academic employees and Department Head for interpretations of prevailing policies concerned with information and contract matters related to the review. Sensitive response to equal employment opportunity issues and clarification of content for personnel files as distinguished from transitory evaluative files illustrate the concerns addressed by this staff.

The Director and Assistant Director of HR are advisors to the Provost and Vice President for Academic Affairs on procedural issues only. This advisement may occur before, during and after the review process.

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<sup>1</sup> "Staff" is defined as incumbents who hold the titles of Professor, Associate Professor, Assistant Professor, Instructor, Librarian, Associate Librarian, Senior Assistant Librarian, Assistant Librarian, and Lecturer in qualified academic rank.

<sup>2</sup> In reviews for continuing appointment the term senior refers to faculty already on continuing appointment, whereas, in reviews for promotion the term senior refers to faculty having academic rank at equal or higher academic rank than that for which the individual is to be considered.

<sup>3</sup> Those materials submitted by Peer Review Committee, Department Head, immediate supervisor, Dean, Vice President or others serving in a supervisory capacity in connection with academic evaluation matters.

cc: C.B. Murphy, Jr.  
M. Scimone

ATTACH. - Key Events & Dates

**KEY EVENTS & DATES**  
**ACADEMIC STAFF ANNUAL REPORTING AND EVALUATION PROCEDURES FOR**  
**PERSONNEL ACTION RECOMMENDATIONS**  
**2008-09 Cycle**

Date	Item
November, 2008	Notification of Key Events & Dates Schedule
November 24, 2008	Formal notification of Process Initiation and mailing of roster of required reviews
December 2, 2008	Department Head will notify in writing each academic faculty member who must be reviewed for reappointment or continuing appointment that he or she is a candidate for such personnel action.  AND  Department Head shall notify each academic faculty member who is believed to be a viable candidate for promotion or continuing appointment (only at Assoc. Prof. level) that he or she is invited to become a formal candidate for such personnel action.
By Dec. 9, 2008	Faculty who are not extended such an invitation who wish to be so considered, must notify their Department Head in writing, of their desire to have their credentials reviewed for possible personnel action.
By December 23, 2008	Department Head shall provide written notification to the Provost of the roster of candidates for all proposed personnel actions and of the membership of a faculty committee(s) who will review and make recommendations on each proposed personnel action [for continuing appointment reviews include peers outside of the College whenever appropriate].
February 9, 2009	Candidates submit their materials in support of the personnel action under consideration to Review Committee.
March 10, 2009	Peer Review Comm. Reports submitted to Department Head.
March 24, 2009	Department Head forwards recommendations and supporting materials to Provost and transmits copy of recommendations to candidate.  When submitting recommendations regarding a proposed personnel action, the Department Head shall include a written statement which addresses whether or not all appropriate unit and College policies, as delineated in Administrative Update, Vol. 2008, No. 11 have been followed.