

**State University of New York  
College of Environmental Science and Forestry**

**Appointment, Promotion and Continuing Appointment  
Policies, Procedures and Standards**

**Part A: Non-Librarian Faculty Holding Academic Rank on the Syracuse Campus**

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**Preamble**

The Policies of the State University of New York (SUNY) Board of Trustees, and the Agreement between the United University Professions and SUNY, are the foundational documents governing appointment, Promotion, and Continuing Appointment (i.e., “Tenure”) of individuals holding academic rank at the College of Environmental Science and Forestry (ESF).

This document establishes the policies, procedures, and standards guiding the appointment, Promotion, and Continuing Appointment for non-librarian faculty holding academic rank on the Syracuse campus. Other documents describe the policies, procedures, and standards for the librarian ranks and for faculty holding academic rank at the Ranger School.

Faculty holding academic rank are defined by the SUNY Board of Trustees Policies (Sec. II, §1(j)) as those members of the professional staff having the titles of Professor, Associate Professor, Assistant Professor, Instructor, and Assistant Instructor; and members of the professional staff having the titles of Librarian, Associate Librarian, Senior Assistant Librarian, and Assistant Librarian. For the remainder of this document, the term “faculty” refers only to non-library ESF staff holding academic rank on ESF's Syracuse campus. Thus, the information described herein does not apply to Visiting Professors or Lecturers, nor does it apply to professional employees without academic rank, including Research Associates and Instructional Support staff.

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# 1. INTRODUCTION AND DEFINITIONS

## 1.1. General Considerations

### 1.1.1. *Importance of Institutional Purpose and Values.*

1.1.1.1. The standards for academic rank and Continuing Appointment are the core of ESF's identity. They define the qualities, behaviors, and accomplishments that ESF seeks in faculty members to promulgate the College's purpose and values. These standards are consistent with and supportive of the College's institutional mission: "To advance knowledge and skills and to promote the leadership necessary for the stewardship of both the natural and designed environments."

1.1.1.2. The standards set out in this document are community standards, based on a shared vision and shared principles, and to which ESF faculty members hold themselves in dedication to a common cause of an institution with the following attributes:

1.1.1.2.1. ESF is, first and foremost, an educational institution that provides degree-seeking students with the knowledge and skills that enable them to lead responsible, productive and fulfilling lives.

1.1.1.2.2. ESF is a research university advancing the frontiers of knowledge, devising creative solutions to applied problems, and training the next generation of environmental scholars.

1.1.1.2.3. ESF is a public university with an obligation to aid the people and communities beyond our campus boundaries through the application of our knowledge and skills.

1.1.1.2.4. ESF is a community that succeeds individually and collectively through mutual respect and a collegial approach to campus governance and work distribution.

1.1.1.2.5. ESF's efforts are significantly funded by the taxpayers of the State of New York, and through its faculty members' efforts the College strives to provide a return to them on their investment.

1.1.2. *SUNY Criteria.* The Policies of the SUNY Board of Trustees list five criteria which may be considered in whole or in part in the evaluation of academic employees: (1) mastery of subject matter, (2) effectiveness in teaching, (3) scholarly ability, (4) effectiveness of university service, and (5) continued growth. These criteria are presented as guidance; they are not mandatory or necessarily complete. More importantly, they are not standards. The College is responsible for determining standards for Promotion and Continuing Appointment.

1.1.3. *Non-discrimination.* It is the policy of SUNY and ESF that all matters with respect to employment shall take place without discrimination based on race, ethnicity, gender, sexual orientation, age, or national origin. These principles apply to all aspects of the Promotion and Continuing Appointment process at ESF including the selection and solicitation of evaluators and reviews.

**1.2. Definitions.** The following definitions apply in this document.

- 1.2.1. *Administrative Service.* Administrative service refers to major administrative roles (e.g. Faculty Governance chair, department chairs, undergraduate and graduate coordinators) beyond the normal service obligations that faculty members provide to the university, college, and/or their department. Administrative service appointments are only those approved as such by the Provost.
- 1.2.2. *Collaborative Scholarly Work.* Collaborative scholarly work refers to activities where two or more people combine the strengths of their subject matter specialization or expertise to work together to address an intellectual problem.
- 1.2.3. *Conflict of Interest.* A conflict of interest refers to a situation where an individual has multiple interests, one of which could potentially corrupt the objectivity of the Promotion and/or Continuing Appointment review. It exists when a reviewer, such as an external or internal reviewer, department faculty member, Department Review Committee (DRC) member, College Review Committee (CRC) member, is or has been:
  - 1.2.3.1. A relative of a candidate (defined as a person living in the same household as the candidate, or a person who is a direct descendant of the candidate's grandparents or spouse of such descendant),
  - 1.2.3.2. In an amorous relationship with the candidate,
  - 1.2.3.3. Major professor for the candidate (or the candidate has been the major professor of a reviewer), or
  - 1.2.3.4. Other conflicts of interest not defined above.
- 1.2.4. *Department.* Department refers to the academic department in which the faculty member is appointed at the time of their application for Promotion and/or Continuing Appointment.
- 1.2.5. *Dossier.* The dossier contains: (1) a memorandum summarizing the reviewed faculty member's work assignments for the evaluative period, written by the Department Chair after consultation with the candidate, and co-signed by the Department Chair and the candidate, (2) a statement by the candidate explaining how he/she has met the standard for Promotion and/or Continuing Appointment, (3) the candidate's curriculum vitae, (4) the candidate's teaching portfolio, (5) the candidate's scholarship portfolio, and (6) the candidate's service portfolio, (7) copies of the candidate's prior pre-Promotion and/or pre-Continuing Appointment reviews, and (8) other information required by the department. See 7.1.2. and Appendix C for more specific information.
- 1.2.6. *Evaluative File.* The evaluative file contains: (1) the candidate's dossier, (2) evaluations solicited by the DRC, and (3) evaluations and recommendations from the DRC, the Department Chair, CRC, and the Provost as they are created. See 7.1.3. and Appendix C.1.2. for more specific information.
- 1.2.7. *Faculty.* Faculty refers to professional staff having the titles of Professor, Associate Professor, Assistant Professor, Instructor, and Assistant Instructor on the Syracuse campus. Not included are: (1) members of the professional staff having librarian ranks (2) faculty holding academic rank at ESF's Ranger School, or (3) Visiting Professors,

- Lecturers, or professional employees without academic rank, such as Research Associates and Instructional Support staff. See Preamble for additional information.
- 1.2.8. *Non-Department Academic Units.* Non-department academic units are divisions (e.g., Division of Environmental Science, Division of Engineering), and research institutes and centers (e.g., Adirondack Ecological Center, Cellulose Research Institute).
  - 1.2.9. *Professional and Public Service.* Professional and public service refers to participation and leadership in furthering the candidate's professional discipline and education of the public. Professional and public service includes: public service and outreach activities aimed at off-campus and non-peer audiences; leadership of national scientific and/or professional societies' major committees; chair of national or state governments' advisory, review, or other boards; editors of peer-review journals. See Appendix C.2.6.3. for a list of activities classified as Professional and Public Service.
  - 1.2.10. *Scholarship.* Scholarship refers to advanced study that leads to the acquisition of knowledge. Scholarship shall be demonstrated primarily through a candidate's tangible products of research, or for some disciplines, creative endeavors. In an academic setting, products that are recognized by peers, or part of the peer-review process, in written or oral communications define scholarship. Publications, presentations and reviews of scholarly work are standard products of scholarship, but other forms are possible. See Appendix C.2.5 for a list of activities classified as Scholarship.
  - 1.2.11. *Solicited Materials.* Solicited materials are evaluations solicited by the DRC, such as external and internal peer evaluations. See 7.2 for additional information.
  - 1.2.12. *Teaching.* Teaching refers to activities facilitating the assimilation of knowledge and the development of critical thinking skills by students enrolled at ESF. These activities include classroom, laboratory, and field instruction; course development; meeting with and mentoring students; testing and grading; and professional development as a teacher. See Appendix C.2.4. for a list of activities classified as Teaching.
  - 1.2.13. *University, College, and Department Service.* University, college, and department service refers to participation and leadership in furthering the mission of University, College, and Department. University, College, and Department service includes advising undergraduate students and masters students in professional degree programs; committee membership and chair assignments; University, College, and Department committee membership and chair assignments; and activities that: (1) promote ESF and its programs, and (2) enhance student recruitment and retention at ESF. See Appendix C.2.6.1 for a list of activities classified as University, College, and Department Service.

## 2. STANDARDS FOR ACADEMIC RANKS and CONTINUING APPOINTMENT

### 2.1. Applying the Standards.

#### 2.1.1. *Departmental Standards.*

2.1.1.1. This document describes institutional standards for academic ranks and Continuing Appointment. They are necessarily general so as to be applicable across the College's diverse disciplines. The institutional standards are supplemented with departmental standards, which translate institutional standards into the disciplinary context. The departmental standards provide faculty with sound guidance on expectations for academic ranks, but recognize that there is no single formula for demonstrating how the standards can be met. To provide grounding, the departmental standards conform to accomplishments of successful faculty at peer institutions (typically doctoral granting, public institutions).

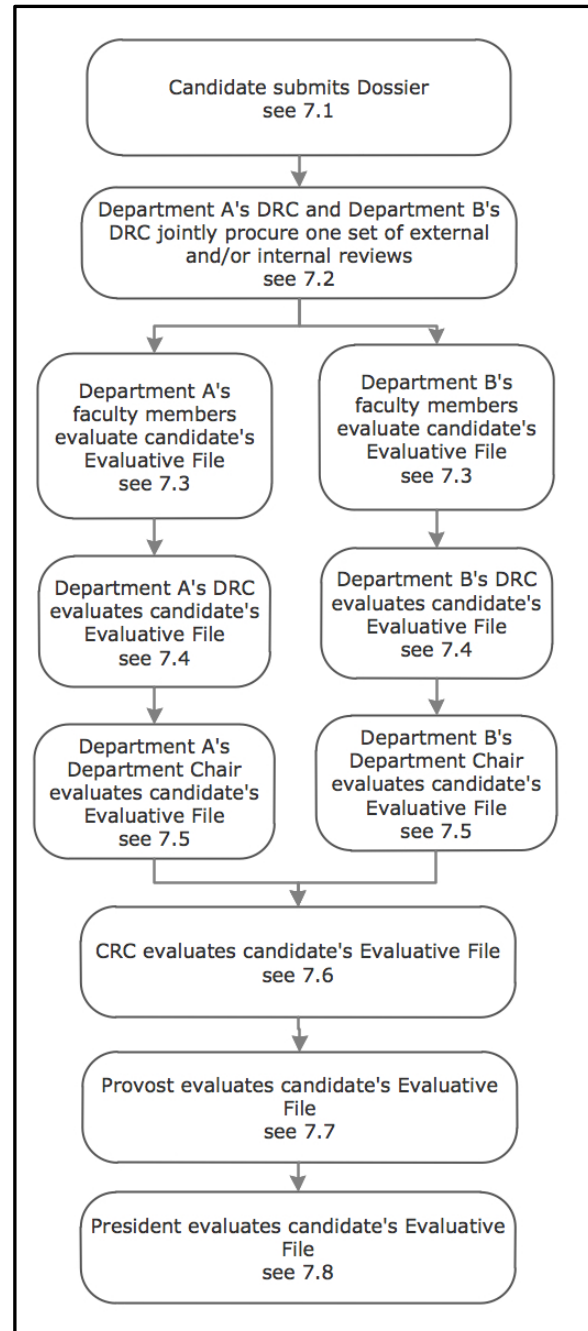
2.1.1.2. Department standards shall set out the process for their amendment.

2.1.1.3. When department standards are amended, the department shall indicate whether the amendment: (1) substantially changes faculty members' obligations, or (2) clarifies faculty members' obligations.

#### 2.1.2. *Appointments in Multiple Departments and Non-Department Academic Units*

2.1.2.1. Faculty Members with an Appointment in More than One Department. Review of candidates for Promotion and/or Continuing Appointment having

**Figure 1: Review Process for a Candidate with Appointments in More than One Department**



Appointments in more than one department shall utilize the process set out in Section 7 for all departments in which the candidate has an Appointment, except that the candidate departments' DRCs shall coordinate to procure a single set of external and/or internal reviews (in accordance with section 7.2) to be used jointly by the coordinating DRCs. In other words, candidates' dossiers and evaluative files shall be reviewed by each department's faculty members (see 7.3), DRC (see 7.4), and Department Chair (see 7.5), before being forwarded to the CRC (see example in Figure 1).

- 2.1.2.2. Faculty Members Participating in Non-Department Academic Units. The director of unit(s) in which a faculty member applying for Promotion and/or Continuing Appointment participates may provide a written evaluation to the DRC of a candidate's accomplishments and activities within that unit. If provided, such evaluation shall be added to the candidate's Evaluative File.
- 2.1.3. *Objectivity and Judgment.*
  - 2.1.3.1. Decisions to assign or promote an individual to a particular rank and to confer Continuing Appointment are judgments. No two candidates' records are alike. It is up to those with review responsibility to evaluate the evidence presented by the candidate to determine if the standards have been met.
  - 2.1.3.2. While decisions to assign or promote individuals to an academic rank or to offer Continuing Appointment are judgments, those making the judgments are expected to adhere to practices that foster the greatest degree of objectivity possible. Such decisions are based on a comparison of the candidate's accomplishments and performance with the expectations for academic ranks as outlined in these standards. Decisions may not be based on personal or professional differences or affinities.
- 2.1.4. *Consideration of Work Assignments.* Faculty members of similar academic rank may have different work assignments.
  - 2.1.4.1. A faculty member's work assignments must be taken into consideration when evaluating whether the candidate has met the institution's standards for Promotion and Tenure.
  - 2.1.4.2. The Department Chair is responsible for defining a candidate's work assignment. A memorandum summarizing these work assignments for the evaluation period, written by the Department Chair after consultation with the candidate, and co-signed by the Department Chair and the candidate, shall be included in each candidate's Evaluative File. If a candidate's work assignment has changed during the evaluative period, the Department Chair's memorandum shall describe the period (i.e., years covered) for each of the candidate's work assignments.
- 2.1.5. *Productivity and Impact/Effectiveness Standards.*
  - 2.1.5.1. Standards for Promotion and Continuing Appointment include measures of: (a) productivity, and (b) impact/effectiveness (see Table 1). Productivity standards



reflect the *quantity* of the candidate’s accomplishments; Impact/effectiveness standards reflect the *quality* of the candidate’s accomplishment.

2.1.5.1.1. Productivity standards reflect expected output based on the candidate’s work assignment as allocated by their Department Chair (and defined in the Department Chair’s memorandum specified in 2.1.4.2.).

2.1.5.1.2. Impact/effectiveness standards reflect the: (1) impact of candidates’ scholarship, and/or (2) the effectiveness of candidates’ teaching and applicable service.

2.1.5.2. Application of Standards to Appointment and Promotion.

2.1.5.2.1. To be appointed, candidates must meet impact/effectiveness standards for the appointed rank.

2.1.5.2.2. To be promoted, candidates for promotion must meet *both*: (1) productivity standards, and (2) impact/effectiveness standards.

2.1.6. *Continuous Growth Standard for Promotion to Associate Professor and Professor.* Candidates’ productivity and impact/effectiveness shall be examined with the greatest weight given to the time since their Appointment or Promotion to their current rank (see Table 1). Candidates’ dossiers must reflect and demonstrate:

2.1.6.1. A continuing or increasing level of productivity and increasing impact/effectiveness since their Appointment or Promotion to their current rank, and

2.1.6.2. A cumulative record that demonstrates sustained accomplishments in teaching, scholarship, and service.

**Table 1:** Application of Standards to Appointment and Promotion at Professorial Ranks

| <b>Professorial Rank</b> | <b>Productivity Standard Applies to:</b> | <b>Impact/Effectiveness Standard Applies to:</b> | <b>Continuous Growth Standard Applies to:</b> |
|--------------------------|--|--|---|
| Instructor               |  | Appointment                                      |   |
| Assistant Professor      | Promotion                                | Appointment and Promotion                        |   |
| Associate Professor      | Promotion                                | Appointment and Promotion                        | Promotion                                     |
| Professor                | Promotion                                | Appointment and Promotion                        | Promotion                                     |

**2.2. Standards for Appointment to Instructor.**

2.2.1. *Use of Title and Expectations.*

2.2.1.1. The Instructor title is primarily used for members of the academic staff whose principal duties are teaching.

2.2.1.2. The Instructor title may also be used temporarily for academic staff whose work assignment includes significant scholarship and who meet all the qualifications for the Assistant Professor rank, except for the completion of a

terminal degree. Such individuals will generally be promoted to Assistant Professor when their terminal degree is awarded.

#### 2.2.2. *Standards.*

- 2.2.2.1. Terminal Degree. Candidates are not required to have a terminal degree.
  - 2.2.2.2. Teaching. Candidates are expected to be subject matter experts who have demonstrated, or show promise of, effectiveness in instruction and an affinity for engagement with students. Candidates are expected to be current in their fields of instruction.
  - 2.2.2.3. Scholarship. Candidates with Appointments that include a scholarship component greater than 15 percent are expected to have demonstrated, or show promise of, impact in scholarship.
  - 2.2.2.4. Department, College, and University Service. Candidates are expected to have demonstrated, or show promise of, effectiveness in university, college, and department service.
  - 2.2.2.5. Professional and Public Service. Candidates with Appointments that include professional and/or public service are expected to have demonstrated, or show promise of, effectiveness in such service.
  - 2.2.2.6. Administrative Service. Candidates with Appointments that include administrative service are expected to have demonstrated, or show promise of, effectiveness in such service.
- 2.2.3. *Promotion of Instructors to Professorial Ranks.* Instructors are generally hired to teach, so their work assignments are by design not conducive to meeting the scholarship standards for Promotion to the professorial ranks and there is no expectation that effective Instructors will be promoted. However, Instructors are eligible for Promotion to professorial ranks if they meet all promotional standards, including those related to scholarship productivity and impact (generally through efforts outside of their formal work assignments). Advancement to professorial rank will not, in most instances, result in a change in work assignment.

### **2.3. Standards for Appointment/Promotion to Assistant Professor.**

- 2.3.1. *Terminal Degree.* Candidates are expected to hold a terminal degree in their field of expertise.
- 2.3.2. *Teaching.*
  - 2.3.2.1. Productivity. Candidates are expected to have taught courses commensurate with their work assignment.
  - 2.3.2.2. Effectiveness.
    - 2.3.2.2.1. Candidates with prior teaching experience are expected to: (1) have demonstrated consistently positive engagement with students and effectiveness in achieving student learning outcomes, and (2) be current in instruction techniques within their fields and to have demonstrated innovation and evolution in their instructional methods and materials.

2.3.2.2.2. Candidates without prior teaching experience are expected to: (1) show promise of effectiveness in instruction and positive engagement with students, and (2) be current in instruction techniques within their fields, and to show promise in innovation and evolution in their instructional methods and materials.

2.3.3. *Scholarship.*

2.3.3.1. Productivity. Candidates are expected to have produced scholarly output commensurate with their work assignment.

2.3.3.2. Impact. Candidates are expected to: (1) be subject matter experts, (2) have produced scholarship recognized by other scholars in the field as significant, and (3) demonstrate they have a penchant for further original scholarship.

2.3.4. *Department, College and University Service.*

2.3.4.1. Productivity. Candidates are expected to have demonstrated service accomplishments commensurate with their work assignment.

2.3.4.2. Effectiveness. Candidates are expected to have demonstrated, or show promise of, effectiveness in university, college, or department service.

2.3.5. *Professional and Public Service (if applicable).*

2.3.5.1. Productivity. Candidates with prior professional or public service experience are expected to have demonstrated service accomplishments commensurate with their work assignments.

2.3.5.2. Effectiveness. Candidates are expected to have demonstrated, or show promise of, effectiveness in professional or public service.

2.3.6. *Administrative Service (if applicable).*

2.3.6.1. Productivity. Candidates with prior administrative service experience are expected to have demonstrated service accomplishments commensurate with their work assignments.

2.3.6.2. Effectiveness. Candidates are expected to have demonstrated, or show promise of, effectiveness in administrative service.

**2.4. Standards for Appointment/Promotion to Associate Professor.**

2.4.1. *Terminal Degree.* Candidates are expected to hold a terminal degree in their field of expertise.

2.4.2. *Teaching.*

2.4.2.1. Productivity. Candidates are expected to have taught courses commensurate with their work assignment.

2.4.2.2. Effectiveness.

2.4.2.2.1. Candidates with prior teaching experience are expected to: (1) have demonstrated consistently positive engagement with students and effectiveness in achieving student learning outcomes, and (2) be current in instruction techniques within their fields and to have demonstrated innovation and evolution in their instructional methods and materials.

2.4.2.2.2. Candidates without prior teaching experience are expected to: (1) show promise of effectiveness in instruction and positive engagement with students, and (2) be current in instruction techniques within their fields, and to show promise in innovation and evolution in their instructional methods and materials.

2.4.3. *Scholarship.*

2.4.3.1. Productivity. Candidates are expected to have produced scholarly output commensurate with their work assignment.

2.4.3.2. Impact. Candidates are expected to be subject matter experts who have been nationally or internationally recognized for significant contributions to their field of scholarship as demonstrated, under normal conditions, by all of the following:

2.4.3.2.1. A portfolio of scholarly products that portrays a sustained body of individual and collaborative scholarly work (see 1.2.2.),

2.4.3.2.2. Identifiable scholarly advances/contributions,

2.4.3.2.3. Meaningful professional engagement with scholarly peers,

2.4.3.2.4. Recognition by peers of significant scholarly accomplishments,

2.4.3.2.5. Success in obtaining extramural support for scholarly work and producing scholarship from that support, and

2.4.3.2.6. Success in recruiting and completing graduate students.

2.4.4. *Department, College and University Service.*

2.4.4.1. Productivity. Candidates are expected to have demonstrated department, college, and university service accomplishments commensurate with their work assignment.

2.4.4.2. Effectiveness. Candidates are expected to have demonstrated that they have contributed to the success of the university and college, and their departments.

2.4.5. *Professional and Public Service (if applicable).*

2.4.5.1. Productivity. Candidates are expected to have demonstrated professional and public service accomplishments commensurate with their work assignment.

2.4.5.2. Effectiveness. Candidates are expected to have demonstrated that they have: (1) advanced their professional discipline, and/or (2) increased the education of the public.

2.4.6. *Administrative Service (if applicable).*

2.4.6.1. Productivity. Candidates are expected to have demonstrated administrative service accomplishments commensurate with their work assignment.

2.4.6.2. Effectiveness. Candidates are expected to have demonstrated that they have successfully completed their administrative service responsibilities.

## **2.5. Standards for Appointment/Promotion to Professor.**

2.5.1. *Terminal Degree.* Candidates are expected to hold a terminal degree in their field of expertise.

2.5.2. *Teaching.*

2.5.2.1. Productivity. Candidates are expected to have taught courses commensurate with their work assignment.

2.5.2.2. Effectiveness.

2.5.2.2.1. Candidates with prior teaching experience are expected to: (1) have demonstrated consistently positive engagement with students and effectiveness in achieving student learning outcomes, and (2) be current in instruction techniques within their fields and to have demonstrated innovation and evolution in their instructional methods and materials.

2.5.2.2.2. Candidates without prior teaching experience are expected to: (1) show promise of effectiveness in instruction and positive engagement with students, and (2) be current in instruction techniques within their fields, and to show promise in innovation and evolution in their instructional methods and materials.

2.5.3. *Scholarship.*

2.5.3.1. Productivity. Candidates are expected to have produced scholarly output commensurate with their work assignment.

2.5.3.2. Impact. Candidates are expected to be subject matter experts who have achieved national or international prominence for significant advances to their field of scholarship as demonstrated, under normal conditions, by all of the following:

2.5.3.2.1. A significant body of individual and collaborative scholarly work (see 1.2.2.) that has demonstrably advanced the individual's field of study,

2.5.3.2.2. Identifiable scholarly advances/contributions,

2.5.3.2.3. Appointment or election to leadership positions in scholarly and professional organizations,

2.5.3.2.4. Recognition of scholarly merit through awards and invitations to give scholarly presentations,

2.5.3.2.5. Sustained ability to obtain extramural support for scholarly work and producing scholarship from that support, and

2.5.3.2.6. Sustained success in recruiting and completing graduate students.

2.5.4. *Department, College and University Service.*

2.5.4.1. Productivity. Candidates are expected to have demonstrated department, college, and university service accomplishments commensurate with their work assignment.

2.5.4.2. Effectiveness. Candidates are expected to have demonstrated that they have contributed to the success of the university and college, and their departments.

2.5.5. *Professional and Public Service (if applicable).*

2.5.5.1. Productivity. Candidates are expected to have demonstrated professional or public service accomplishments commensurate with their work assignment.

2.5.5.2. Effectiveness. Candidates are expected to have demonstrated that they have: (1) advanced their professional discipline, and/or (2) increased the education of the public.

2.5.6. *Administrative Service (if applicable).*

2.5.6.1. Productivity. Candidates are expected to have demonstrated administrative service accomplishments commensurate with their work assignment.

2.5.6.2. Effectiveness. Candidates are expected to have demonstrated that they have successfully completed their administrative service responsibilities.

## **2.6. Standards for Continuing Appointment.**

2.6.1. *Definition.* Continuing Appointment is an Appointment for individuals holding academic rank that continues until the individual resigns, retires, or is terminated. It is equivalent to tenure in other universities.

2.6.2. *Continuing Appointment and Promotion Decisions.* Decisions regarding Continuing Appointment are separate from Promotion decisions, though the two decisions are often made concurrently.

2.6.3. *Promotion and Continuing Appointment.*

2.6.3.1. Individuals hired as Assistant Professors shall not receive Continuing Appointment without Promotion, except in the rare case where the individual is uniquely qualified to provide a service in high demand by the College.

2.6.3.2. Instructors are not required to receive Promotion to a professorial rank as a condition for Continuing Appointment.

2.6.4. *Timing*

2.6.4.1. Instructors. Instructors generally receive Continuing Appointment without Promotion (see 2.2.3.).

2.6.4.2. Assistant Professors.

2.6.4.2.1. The Policies of the SUNY Board of Trustees state that Instructors and Assistant Professors *may not* continue beyond seven (7) years without Continuing Appointment. Therefore, a decision on Continuing Appointment must be made before six (6) years of qualifying service have been completed.

2.6.4.2.2. Assistant Professors may be considered for Continuing Appointment prior to six (6) years of service if they concurrently apply for and receive Promotion to Associate Professor.

2.6.4.3. Associate Professors and Professors. Associate Professors and Professors may be granted Continuing Appointment at any time. However, faculty in these ranks *may not* continue beyond three (3) years without Continuing Appointment.

Therefore, a decision on Continuing Appointment must be rendered within two (2) years of service at either rank.

#### 2.6.5. *Standards for Continuing Appointment*

- 2.6.5.1. Under most circumstances, Continuing Appointment assures life-long employment at the College. The decision to grant Continuing Appointment reflects a judgment that the faculty member will meaningfully contribute to the College mission and fulfill his/her collegial duties throughout his/her academic career.
- 2.6.5.2. Continuing Appointment decisions are based on all four (4) of the following criteria:
  - 2.6.5.2.1. Perceived long-term need for the faculty member's talents,
  - 2.6.5.2.2. Demonstrated excellence in the performance of the duties demanded by the position,
  - 2.6.5.2.3. Consistent constructive cooperation and professional behavior as it relates to the candidate's departmental and institutional roles, and
  - 2.6.5.2.4. Perception that the professional contributions will continue, and expand, in the future.

### **3. THE DEPARTMENT REVIEW COMMITTEE (DRC)**

#### **3.1. General Considerations.**

- 3.1.1. The College's faculty bear responsibility for upholding the standards for academic rank and Continuing Appointment. This responsibility is vested largely in Department Review Committees (DRC) that manage and oversee the Promotion and Continuing Appointment review process, and provide the initial recommendations on these actions.

#### **3.2. Committee Responsibilities.**

- 3.2.1. Each department shall have a standing DRC which shall conduct:
  - 3.2.1.1. Promotion and Continuing Appointment reviews. In connection with this responsibility, the committee shall:
    - 3.2.1.1.1. Insure that candidates' dossiers meet the formatting and other requirements set out in these standards (see e.g., 7.1, Appendix C),
    - 3.2.1.1.2. Solicit external and/or internal letters of evaluation for candidates, including evaluations from directors of units in which the candidate participates,
    - 3.2.1.1.3. Invite departmental faculty to review candidates' evaluative files,
    - 3.2.1.1.4. Convene a meeting of departmental faculty to discuss candidates' qualifications for the action requested,
    - 3.2.1.1.5. Request written evaluations and recommendations by departmental faculty on candidates' qualifications,

- 3.2.1.1.6. Conduct a confidential written vote by ballot of departmental faculty on whether action requested by candidates should be granted, and
- 3.2.1.1.7. Provide a recommendation to the Department Chair on the candidates' qualifications.
- 3.2.1.2. Pre-Promotion and pre-Continuing Appointment reviews, such as:
  - 3.2.1.2.1. Instructors' qualifications for reappointment,
  - 3.2.1.2.2. Assistant Professors' progress towards the rank of Associate Professor (e.g., 3 year review),
  - 3.2.1.2.3. Associate Professors' progress towards the rank of Professor (e.g., three (3) year, six (6) year, etc. reviews), and
  - 3.2.1.2.4. Initial appointment reviews (see 5.)

### **3.3. Committee Composition and Conflicts of Interest.**

- 3.3.1. The DRC shall consist of three (3) Professors and two (2) other professors (either Professors or Associate Professors) having Continuing Appointment. The Department Chair shall appoint DRC members to three (3) year terms. Appointments to the DRC should be staggered to ensure continuity. The Department Chair shall appoint a Professor with at least one (1) year of service on the DRC as DRC Chair.
- 3.3.2. DRC members should be drawn from the departmental faculty, unless the department has insufficient staff to comprise the committee. In such case, the Department Chair, in consultation with the Provost, shall complete the DRC's membership with faculty from other College departments.
- 3.3.3. DRC members shall recuse themselves from discussion or consideration of candidates' applications where a conflict of interest exists (see 1.2.3.).

### **3.4. DRC Composition for Promotion of Department Chairs.**

- 3.4.1. To avoid conflict of interest, if a Department Chair seeks Promotion, the Provost shall appoint an *ad hoc* DRC comprised of five (5) Professors from outside the Chair's department. In selecting Committee members, the Provost will seek faculty working in fields related to the candidate's discipline.

## **4. THE COLLEGE REVIEW COMMITTEE (CRC)**

### **4.1. Purpose and Responsibility of College Level Review.**

- 4.1.1. The College Review Committee (CRC) protects the interests of the candidate, department, and College so as to ensure that the standards for Promotion and Continuing Appointment are applied fairly and uniformly. The CRC's recommendations provide additional guidance for the Provost and President when making recommendations and decisions on Promotion and Continuing Appointment.
- 4.1.2. The burden of evaluating the qualifications and suitability of the candidate for Promotion and Continuing Appointment is greatest at the department level of review.



The CRC's review shall be completed in accordance with the principle of "deference to initial determination." Thus, the CRC will give significant weight to the judgments and recommendations of DRCs' and Department Chairs' reviews. The CRC's recommendation does not supersede, nor carry any greater weight than, the DRCs' or Department Chairs' recommendations.

#### **4.2. Committee Responsibilities.**

4.2.1. The CRC shall:

- 4.2.1.1. Insure that the procedures set out in these standards have been followed,
- 4.2.1.2. Provide recommendations to the Provost on candidates' qualifications for Promotion and Continuing Appointment,
- 4.2.1.3. Review ESF's Appointment, Promotion and Appointment, Promotion and Continuing Appointment Policies, Procedures and Standards at least every three (3) years and make recommendations to the President and Provost for amendments thereto,
- 4.2.1.4. Provide advice and counsel to the President and Provost when they consider amendments to ESF's Appointment, Promotion and Appointment, Promotion and Continuing Appointment Policies, Procedures and Standards,
- 4.2.1.5. Review all departmental Promotion and Continuing Appointment standards at least every three (3) years and make recommendations to appropriate DRC for amendments thereto.

4.2.2. The CRC Chair shall hold the following meetings during the fall semester each year:

- 4.2.2.1. A meeting for DRC members to review the Promotion and Continuing Appointment process and their role in that process,
- 4.2.2.2. A meeting for new non-librarian faculty holding academic rank on the Syracuse campus to inform them of the Promotion and Continuing Appointment standards and process, and
- 4.2.2.3. A meeting for non-librarian faculty holding academic rank on the Syracuse campus who are considering applying for Promotion and/or Continuing Appointment.

#### **4.3. Appointment and Composition of the CRC.**

- 4.3.1. The Provost, in consultation with the respective Department Chairs, shall appoint one (1) member from each academic department.
- 4.3.2. CRC members must have the rank of Professor and may not be a Department Chair. CRC members should not serve on their department's DRC, except in departments with three (3) or fewer faculty members at the Professor rank. In the latter case, they shall not chair their department's DRC.
- 4.3.3. CRC members shall serve three (3) year terms, with the Appointments designed to insure staggered terms so that no more than three (3) CRC members' terms end in any year.

- 4.3.4. In the event a CRC member is on sabbatical or otherwise unable to serve on the CRC, the Provost, in consultation with the respective Department Chair, may appoint another faculty member to the CRC to serve the remaining portion of that term.
- 4.3.5. Each year, CRC members shall vote to elect a CRC chair. No CRC member shall serve as chair for more than two (2) consecutive years.

#### **4.4. CRC Voting Procedures.**

- 4.4.1. *Meeting and Quorum.* CRC members must be present at CRC meetings to participate; electronic participation (e.g., conference call, video) is prohibited. Of the committee members eligible to vote on a given candidate, no more than two (2) may be absent to constitute a quorum. A quorum must be computed individually for each candidate.
- 4.4.2. *Candidate's Home Department CRC Member.* CRC members from candidates' home department(s) shall: (1) be excused (i.e. leave the room) from the discussion of such candidates' application for Promotion and Continuing Appointment and (2) not vote on such candidates' applications for Promotion and Continuing Appointment. However, if the CRC has questions regarding candidates' home department(s)' Promotion and Continuing Appointment standards, the CRC may request clarification on those standards from the CRC member from that department.
- 4.4.3. *Abstentions.* No abstentions for reasons other than those described in this section (4.4.) are allowed.
- 4.4.4. *Recusal.* CRC members shall recuse themselves where a conflict of interest exists (see 1.2.3.). In such situations, CRC members may not participate in the discussion or consideration of candidates' applications. CRC members who are recused are not considered eligible voters for quorum calculations.
- 4.4.5. *Absentee Ballots.* No absentee ballots are allowed.

## **5. INITIAL APPOINTMENT**

### **5.1. Process.**

- 5.1.1. The President of the College with the advisement of the Provost, Department Chair, and Search Committee, shall make initial Appointments to academic rank.
- 5.1.2. The faculty of the department in which the candidate will be appointed shall vote, via a confidential, written ballot, on the acceptability of new faculty members. The results of this vote will be included in the Department Chair's recommendation to the Provost and in the Provost's recommendation to the President.

### **5.2. Determination of Academic Rank.**

- 5.2.1. The Search Committee, Department Chair, and Provost should only recommend candidates for Appointment that meet the standards for the academic rank prescribed in the position description.

5.2.2. In most faculty searches, academic rank is predetermined in the position description. For searches in which no single academic rank is prescribed, the Department Chair, with advisement of the Search Committee, will recommend the academic rank for potential new professorial Appointments. If a rank of Associate Professor or Professor is recommended, the department's DRC shall, within one (1) week, review the candidate's application package and provide its recommendation on academic rank to the Department Chair. The DRC's recommendation will be included in the Chair's recommendation to the Provost and the President.

### **5.3. Entry with Continuing Appointment.**

5.3.1. Continuing Appointment may be granted at the time of initial Appointment for individuals entering at the Associate Professor or Professor ranks.

5.3.2. If a candidate requests Continuing Appointment, the department's DRC shall, within one (1) week, review the candidate's full application package and provide a recommendation on Continuing Appointment to the Department Chair. The DRC's recommendation will be included in the Chair's recommendation to the Provost and the President.

## **6. REVIEWS PRIOR TO AND AFTER PROMOTION and CONTINUING APPOINTMENT**

### **6.1. Faculty Members without Continuing Appointment.**

6.1.1. *Third Year Review for Instructors and Assistant Professors for Reappointment.*

6.1.1.1. Required Materials. Before January 10 of the third year from the initial Appointment, Instructors and Assistant Professors shall provide the DRC with: (1) a memorandum summarizing their work assignments written by the Department Chair after consultation with the candidate, and co-signed by the Department Chair and the candidate; and (2) their Dossier, excluding the materials set out in Appendix C.1.1.8.) (See Figure 2).

6.1.1.2. Department Faculty Review. The DRC shall provide these materials to department faculty by January 12, and invite department faculty members to provide the DRC with the following before January 22: (1) an evaluation addressing the candidate's progress towards meeting the standards for Promotion to Associate Professor and/or Continuing Appointment, and (2) a recommendation on the candidate's reappointment as an Assistant Professor or Instructor.

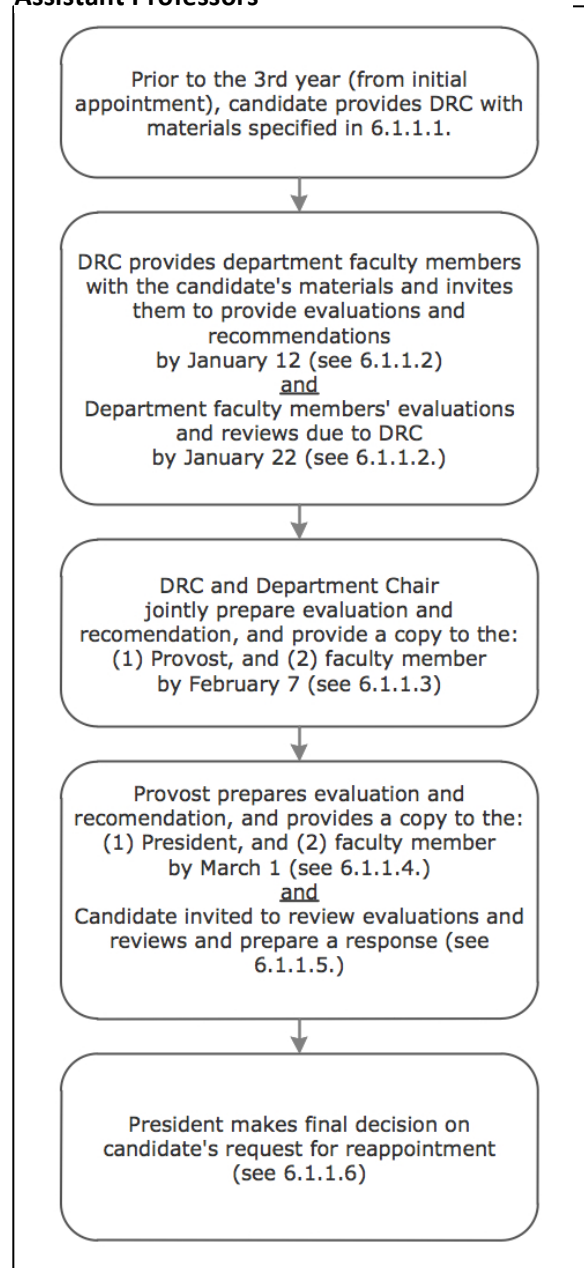
6.1.1.3. Joint DRC and Department Chair Review. The DRC and Department Chair shall meet and, based on the candidate's dossier and department faculty's evaluations and recommendations, jointly prepare (1) an evaluation addressing the candidate's progress towards meeting the standards for Promotion to Associate Professor and/or Continuing Appointment, and (2) a recommendation on the candidate's reappointment as an Assistant Professor or Instructor. The

department faculty evaluations and joint DRC and Department Chair evaluation shall be provided to the Provost by February 7 and copied to the candidate when it is forwarded to the Provost.

6.1.1.4. Provost Review. The Provost shall review the candidate's dossier and all of previously prepared evaluations and recommendations required by 6.1.1., and prepare an independent: (1) evaluation addressing the candidate's progress towards meeting the standards for Promotion to Associate Professor and/or Continuing Appointment, and (2) recommendation on the candidate's reappointment as an Assistant Professor or Instructor. The Provost shall have the option of meeting with the candidate to discuss the candidate's dossier and all of previously prepared evaluations and recommendations required by 6.1.1.. The Provost evaluation and recommendation will be added to all of the previously prepared evaluations and recommendations required by 6.1.1. and forwarded to the President by March 1.

6.1.1.5. Candidate's Review of Evaluations. When the Provost's evaluation and recommendation and all of the previously prepared evaluations and recommendations are forwarded to the President, those materials shall: (1) be sent to the candidate and their department chair, and (2) the candidate shall be notified that he/she has five (5) working days to review and respond to all the previously prepared evaluations and recommendations required by 6.1.1.. The candidate shall not be allowed to review the department faculty evaluations that have been designated as confidential. If the

**Figure 2: Third Year Review of Instructors and Assistant Professors**



candidate wishes, he/she may prepare a written response to the evaluations, this response must be provided to the ESF Office of Human Resources within five (5) days of the candidate being notified that he/she may review the evaluations. The Office of Human Resources shall append the candidate's response to all the previously prepared evaluations and recommendations required by 6.1.1..

6.1.1.6. **President's Review.** The President will review all the previously prepared evaluations and recommendations required by 6.1.1., and the candidate's response (if there is one), after the period for the candidate's review and decide in favor of or against the candidate's reappointment as instructor or assistant professor.

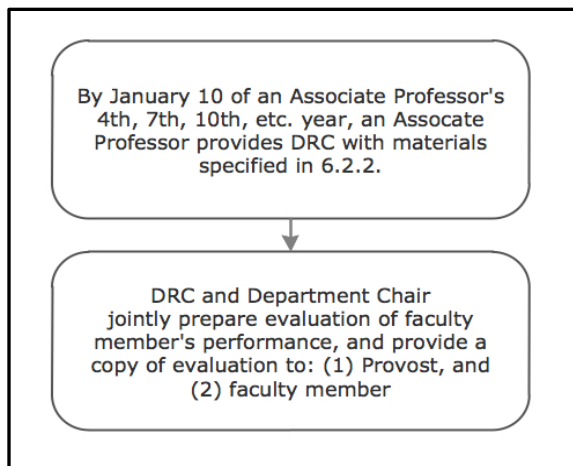
6.1.2. **Other DRC Reviews for Instructors and Assistant Professors.** The Department Chair, in consultation with the DRC, may require additional DRC reviews for Instructors and Assistant Professors: (1) before or after the third year review, and (2) before application for Continuing Appointment. Such reviews shall be similar to the third year review, but shall only require input from the DRC and the Department Chair.

## **6.2. Faculty Members with Continuing Appointment (Review of Associate Professors).**

6.2.1. **Timing.** During their fourth year after Appointment as an Associate Professor with Continuing Appointment, and, if necessary, every three years thereafter, Associate Professors shall be jointly reviewed by the DRC and Department Chair (See Figure 3).

6.2.2. **Initiation.** By January 10 in these years, Associate Professors shall provide the DRC with the following documents updated to include information since their last review: (1) a memorandum summarizing their work assignments for the evaluative period, written by the Department Chair after consultation with the faculty member, and co-signed by the Department Chair and the faculty member; (2) their Curriculum Vitae; (3) their teaching, scholarship, and service portfolios (see Appendix C); (4) additional materials required by the department; and (5) a copy of the Associate Professor's most recent performance evaluation(s), namely either:

**Figure 3: Review of Associate Professors**



6.2.2.1. The Department Chair's and Provost's evaluations completed in connection with the faculty member's promotion to Associate Professor, or

6.2.2.2. The jointly written DRC and Department Chair's evaluation completed in connection with the faculty member's previous review under this section.

6.2.3. **Joint DRC and Department Chair Review.** The DRC and Department Chair shall meet, and jointly prepare a written evaluation of the performance of the reviewed faculty

member based on the materials provided by the faculty member. The evaluation shall address the faculty member's progress meeting the standards for Promotion to Professor.

6.2.4. The joint DRC and Department Chair evaluation shall be forwarded to the Provost for informational purposes and concurrently copied to the faculty member.

## **7. REVIEW FOR PROMOTION AND CONTINUING APPOINTMENT**

### **7.1. Initiation, and Candidate's Dossier and Evaluative File.**

#### *7.1.1. Initiation of Promotion and Continuing Appointment Process.*

7.1.1.1. Application for Promotion and Continuing Appointment is the responsibility of the individual faculty member. Department Chairs, DRCs, and/or mentors (formal or informal) may provide advisement, but the process may only be initiated by response to a College call for self-identification of candidates for Promotion and Continuing Appointment.

7.1.1.2. Appendix A provides the timeline for the Promotion and Continuing Appointment Process. Appendix B provides a flowchart summarizing the process.

#### *7.1.2. Candidate Dossier.*

7.1.2.1. Candidates for Promotion or Continuing Appointment initiate an Evaluative File by preparing a dossier that: (1) accurately portrays their academic accomplishments and activities, and (2) uses those accomplishments and activities to demonstrate that they have met the standards for Promotion and/or Continuing Appointment.

7.1.2.2. The dossier *must* be organized according to the outline provided in Appendix C and shall contain the following materials:

7.1.2.2.1. A memorandum summarizing the candidate's work assignments for the evaluative period, written by the Department Chair after consultation with the candidate, and co-signed by the Department Chair and the candidate,

7.1.2.2.2. A statement by the candidate explaining how he/she has met the standard for Promotion and/or Continuing Appointment,

7.1.2.2.3. The candidate's curriculum vitae,

7.1.2.2.4. The candidate's teaching portfolio,

7.1.2.2.5. The candidate's scholarship portfolio,

7.1.2.2.6. The candidate's service portfolio,

7.1.2.2.7. Copies of prior reviews, and

7.1.2.2.7.1. For candidates applying for Promotion to Associate Professor and/or Continuing Appointment, a copy of the joint DRC and Department Chair Third Year Review of the candidate (see 6.1.1.4), or

7.1.2.2.7.2. For candidates applying for Promotion to Professor, a copy of both: (1) their most recent Three Year Associate Professor Review (see 6.2.3.), and (2) the Department Chair's and Provost's evaluations

prepared in connection with the candidate's application for Promotion to Associate Professor (see 7.5. and 7.7)).

7.1.2.2.8. Other information required by the department.

7.1.2.3. Candidates may add new information to their dossier if the information: (1) was not known by the candidate at the time they submitted their dossier *and* (2) would be important information for evaluators (e.g., notification that a manuscript has been accepted for publication in a peer-reviewed journal, notification of a new grant award, summary of student teaching evaluations).

7.1.2.3.1. To add information to their evaluative file, candidates should send an email or letter to the entity that possesses their evaluative file at that time (e.g. DRC, CRC, Provost).

7.1.2.3.2. Upon receipt, the recipient of such new information shall add it to the candidate's Evaluative File.

7.1.2.4. DRC Chair Review of Candidate's Dossier.

7.1.2.4.1. The DRC Chair, upon receipt of the candidate's dossier, shall review the dossier to insure that it meets the content and formatting requirements above and as set out in Appendix C.

7.1.2.4.2. If the dossier fails to meet those requirements, the DRC Chair shall immediately notify the candidate of the deficiencies. The candidate shall then have seven (7) days to provide the DRC Chair with a corrected dossier. Candidates failing to correct their dossier, shall be considered to have withdrawn their application for Promotion and/or Continuing Appointment.

7.1.3. *The Evaluative File.* The Evaluative File, upon which the candidate's credentials will be judged, shall contain: (1) the candidate's dossier; (2) internal and/or external evaluations solicited by the DRC, as they are received; and (3) evaluations and recommendations from departmental faculty, the DRC, the Department Chair, CRC, and the Provost, as they are created.

7.1.4. *Confidentiality.* All communications, written and oral, that are part of the evaluation process for Promotion and Continuing Appointment must be held in complete confidence among those granted access to such communications.

## **7.2. Internal and External Evaluations.**

7.2.1. *Selection of Evaluators.*

7.2.1.1. Professorial Candidates

7.2.1.1.1. Candidates' and DRC's Roles in the Selection of Evaluators.

7.2.1.1.1.1. Upon submission of the dossier, the candidate shall submit names (and contact information) of at least six (6) potential evaluators. The candidate may also identify up to ten (10) individuals who should be excluded as evaluators and include a brief justification for their exclusion.

- 7.2.1.1.1.2. The DRC, in consultation with the Department Chair, shall initially select and solicit evaluations from at least eight (8) individuals; four (4) of these evaluators will be from the candidate's list and four (4) will not be from the candidate's list. If additional reviews are required to fulfill the requirements of 7.2.1.1.2., the DRC, in consultation with the Department Chair, may choose evaluators from the candidate's list or other evaluators.
- 7.2.1.1.2. Number of Evaluations Required. Evaluative Files must include written evaluations from at least four (4) external reviewers. At least two (2) of these evaluations shall not be by reviewers selected by the candidate.
- 7.2.1.1.3. Evaluators' Qualifications.
  - 7.2.1.1.3.1. Conflicts of Interest.
    - 7.2.1.1.3.1.1. Evaluators shall not have a conflict of interest (see 1.2.3.).
    - 7.2.1.1.3.1.2. Candidates shall not submit names of potential evaluators who may have a conflict of interest.
    - 7.2.1.1.3.1.3. If the candidate becomes aware of a conflict of interest after submitting their dossier, the candidate shall immediately disclose the conflict of interest to the DRC Chair.
  - 7.2.1.1.3.2. External evaluators shall:
    - 7.2.1.1.3.2.1. Be recognized as leaders in the candidate's discipline of scholarship and
    - 7.2.1.1.3.2.2. Not have regularly: (1) published with the candidate, or (2) applied for, or secured grants with, the candidate.
- 7.2.1.2. Instructors
  - 7.2.1.2.1. Candidates', DRC's and Provost's Roles in the Selection of Evaluators.
    - 7.2.1.2.1.1. Upon submission of the dossier, the candidate shall submit names (and contact information) of at least six (6) potential internal non-departmental evaluators. The candidate may also identify up to ten (10) individuals who should be excluded as evaluators and include a brief justification for their exclusion.
    - 7.2.1.2.1.2. The DRC, in consultation with the Department Chair, shall initially select and solicit evaluations from at least four (4) individuals; two (2) of these evaluators will be from the candidate's list and two (2) will not be from the candidate's list. If additional reviews are required to fulfill the requirements of 7.2.1.2.2., the DRC, in consultation with the Department Chair, may choose evaluators from the candidate's list or other evaluators.
    - 7.2.1.2.1.3. In addition to the evaluators selected by the DRC, in consultation with the Department Chair, the Provost shall retain a minimum of two (2) external professional teaching evaluators to review Instructors'



teaching. The review will include in-class observation and examination of teaching materials.

7.2.1.2.2. Number of Evaluations Required. Evaluative Files must include written evaluations from at least four (4) internal non-departmental reviewers (at least two (2) of these evaluations shall not be by reviewers selected by the candidate), and at least two (2) external professional teaching evaluators.

7.2.1.2.3. Conflicts of Interest.

7.2.1.2.3.1. Evaluators shall not have a conflict of interest (see 1.2.3.).

7.2.1.2.3.2. Candidates shall not submit names of potential evaluators who may have a conflict of interest.

7.2.1.2.3.3. If the candidate becomes aware of a conflict of interest after submitting their dossier, the candidate shall immediately disclose the conflict of interest to the DRC Chair.

7.2.2. *Solicitation Procedure.*

7.2.2.1. The DRC Chair shall request evaluations, and will accompany requests with: (1) the candidate's dossier, (2) the College's and department's standards for Promotion and Continuing Appointment, and (3) a "Solicited Material Form."

7.2.2.2. Evaluators shall be instructed to: (1) evaluate and make a recommendation on the candidate's request for Promotion and/or Continuing Appointment (as appropriate) based on the College's and department's standards and the candidate's dossier; and (2) identify the nature of their association with the candidate, disclosing any potential conflicts of interest.

7.2.2.3. DRC Chairs should instruct:

7.2.2.3.1. External evaluators to concentrate on candidates' scholarly productivity, significance, and reputation, as well as, where possible, comment on teaching and service responsibilities. Appendix D contains standardized requests for external reviews. While the use of these letters is recommended, DRC Chairs may amend the letters to meet individual circumstances.

7.2.2.3.2. Internal evaluators to provide substantive commentary on all dimensions of candidates' records.

7.2.3. *Lists of Evaluators.* DRC Chairs are required to: (1) create and maintain a list of individuals solicited for reviews, (2) retain copies of candidates' requests for internal and/or external evaluators, and (3) identify evaluators selected by the candidate in the Evaluative File.

7.2.4. *Solicited Materials Included in Evaluative File.*

7.2.4.1. Evaluations obtained through solicitation by the DRC are added to the Evaluative File.

7.2.4.2. Evaluations received or solicited by the candidate, rather than the DRC, may *not* be included in the Evaluative File. However, the candidate may summarize and/or quote from these materials in the personal evaluation sections of the candidate's portfolios (see sections C.2.4., C.2.5., and C.2.6. of Appendix C).

7.2.5. *Handling of Solicited Materials.*

- 7.2.5.1. Whenever possible, solicited materials received by the DRC should have a “Solicited Materials Form” attached to the evaluation.
  - 7.2.5.2. DRC members, Department Chairs, CRC members, and other Evaluative File reviewers shall review all solicited materials included in the Evaluative File. However, such reviewers shall not disclose information contained in the solicited material to any other parties at any time, except as allowed in this document.
  - 7.2.5.3. Solicited materials may be shared with a candidate *only*: (1) following the Provost’s review and prior to the President’s review, and (2) if the evaluator has so indicated on the Solicited Materials Form.
  - 7.2.5.4. If no form is returned with the solicited materials, it is presumed that the reviewer has not authorized the sharing of the evaluation with the candidate.
- 7.2.6. *Department Required Evaluations.* Evaluations required by a candidate’s department, such as those noted in section C.1. of Appendix C, shall be solicited in accordance with department guidelines.

**7.3. Review by Department Faculty.**

- 7.3.1. Prior to the DRC review of the candidate’s Evaluative File, all department faculty members not having a conflict of interest (see 1.2.3.) will be invited by the DRC to review the dossier. DRC and CRC members shall not participate in this review by department faculty since they have other opportunities to provide input in the process.
- 7.3.2. Prior to the deadline for submission of this evaluation, the DRC shall convene a meeting for all department faculty members not having a conflict of interest (see 1.2.3.) and not having responsibilities for review at a later stage of the review process (e.g., CRC members, Department Chairs, the Provost) to discuss the candidate’s qualifications for the action requested. All communications that occur during this meeting are strictly confidential.
- 7.3.3. Following this meeting, the DRC will:
  - 7.3.3.1. Request departmental faculty members provide written evaluations of whether the candidate’s accomplishments and activities have met the standards for Promotion and/or Continuing Appointment, and
  - 7.3.3.2. Conduct a vote by confidential written ballot of department faculty members on whether the action requested by the candidate should be granted.
- 7.3.4. Written evaluations and recommendations must be accompanied by a completed Solicited Materials Form, and will be added to the Evaluative File.

**7.4. DRC Review.**

- 7.4.1. Following receipt of the written evaluations from departmental faculty, the DRC will review the Evaluative File and prepare a recommendation for submission to the Department Chair. The DRC’s recommendation shall: (1) summarize the strengths and weakness of the candidate’s case in relation to College, and departmental standards; (2)

summarize external and internal reviews, noting any differences between reviews supplied by evaluators selected by the candidate and reviewers selected by the DRC Chair; and (3) include the tally of departmental faculty members' votes and DRC members' votes for the action(s) requested by the candidate.

- 7.4.2. The DRC may request that the candidate provide additional information to clarify issues or questions raised by internal or external reviewers or DRC members. The candidate shall have three (3) days to provide written clarification. If the candidate fails to respond, the candidate is deemed to have waived their right to respond. The candidate's written clarification shall be added to and become part of the candidate's evaluative file.
- 7.4.3. The DRC's recommendation will be added to the Evaluative File, forwarded to the Department Chair, and concurrently copied to the candidate.
- 7.4.4. If the Department Chair is being reviewed for Promotion and/or Continuing Appointment, the Evaluative File will pass directly from the specially appointed, *ad hoc* DRC (see 3.4) to the CRC without Department Chair review.

#### **7.5. Department Chair Review.**

- 7.5.1. The Department Chair will prepare an *independent* written recommendation for submission to the Provost. The Department Chair's recommendation should convey the rationale for or against Promotion and/or Continuing Appointment, citing the evaluations and recommendations of the: (1) external and internal evaluators, (2) department faculty, and (3) DRC. If applicable, the recommendation may: (1) identify unusual circumstances (e.g., early Promotion/Continuing Appointment request(s), delays in Promotion/ Continuing Appointment review, special hiring circumstances), and (2) explain mixed or negative votes if not explained in the DRC's report.
- 7.5.2. The Department Chair's recommendation will be added to the Evaluative File, forwarded to the DRC, and concurrently copied to the candidate.

#### **7.6. CRC Review.**

- 7.6.1. The CRC shall conduct a substantive review of the Evaluative File received from the Department Chair. This review shall evaluate the file in light of the principle of "deference to the initial determination" to determine whether the candidate meets the criteria specified in the ESF and departmental guidelines for Promotion and Continuing Appointment.
- 7.6.2. If during the course of its review the CRC determines that significant procedural errors have occurred in prior stages of review of the candidate's file, the CRC shall immediately notify the Provost and the President. The Provost and the President shall then decide how the review of the candidate's file shall continue.
- 7.6.3. The CRC shall produce a recommendation which will include the tally of votes of the eligible CRC members who are present at the meeting. The CRC Chair shall record the rationale for or against Promotion and/or Continuing Appointment, citing the

evaluations and recommendations of the: (1) external and internal evaluators, (2) department faculty, (3) DRC(s), and (4) Department Chair(s). This rationale must be in writing and be included in the CRC's recommendation.

7.6.4. The CRC's recommendation will be forwarded to the Provost and concurrently copied to the candidate.

### **7.7. Provost Review.**

7.7.1. The Provost shall review the Evaluative File forwarded by the CRC and prepare an independent recommendation for submission to the President. The Provost shall have the option of meeting with candidates to discuss their request for Promotion and/or Continuing Appointment.

7.7.2. The Provost's recommendation will be added to the Evaluative File and copied to the candidate's Department Chair(s).

### **7.8. Candidate Review of Evaluative File**

7.8.1. When the Provost's recommendation is added to the Evaluative File, the candidate shall be notified that he/she has seven (7) working days to review and respond to the Evaluative File.

7.8.2. The candidate shall not be allowed to review the portions of the Evaluative File that have been designated as confidential.

7.8.3. If the candidate wishes, he/she may prepare a written response to the reviewed materials (see SUNY and UUP Agreement). This response must be provided to the ESF Office of Human Resources within seven (7) working days of the candidate being notified that he/she may review the Evaluative File (see 7.8.1.). The Office of Human Resources shall append the candidate's response to the Evaluative File.

### **7.9. Presidential Review and Decision and/or Recommendation.**

7.9.1. The President will receive the Evaluative File from the Office of Human Resources after the period for the candidate's review.

7.9.2. The President will review of the Evaluative File, and decide in favor of or against the candidate's request for Promotion and/or Continuing Appointment.

7.9.3. The decision to Promote is the President's. For Continuing Appointment, the President makes a recommendation that is forwarded to the Chancellor for a decision.

7.9.4. The President shall notify the candidate, and send a copy to the Provost and Department Chair, of his/her decision regarding Promotion and/or recommendation regarding Continuing Appointment.

7.9.5. The candidate may request the reasons for the President's recommendation within ten (10) working days of receiving notification of it (see SUNY and UUP Agreement).

## **8. APPEALS**

### **8.1. Promotion.**

- 8.1.1. Candidates may only appeal the President's decision on Promotion on the grounds of procedural error (see SUNY and UUP Agreement).
- 8.1.2. Appeals may not be filed on other grounds.
- 8.1.3. Such appeals shall follow the Grievance Procedure outlined in the Agreement between SUNY and UUP.

### **8.2. Continuing Appointment.**

- 8.2.1. The candidate may appeal a negative recommendation by the President to the Chancellor of the State University of New York, based on:
  - 8.2.1.1. An alleged procedural error (see SUNY and UUP Agreement), or
  - 8.2.1.2. A Presidential recommendation that is contrary to the recommendations of both the DRC and CRC. Candidates should refer directly to the SUNY and UUP Agreement for details.
- 8.2.2. Appeals may not be filed on other grounds.
- 8.2.3. Such appeals shall follow the Grievance Procedure outlined in the Agreement between SUNY and UUP.

## **APPENDIX A: TIMELINE FOR PROMOTION AND CONTINUING APPOINTMENT REVIEW**

See section 6.1.1. for the timeline for the 3<sup>rd</sup> year review for Instructors and Assistant Professors, and section 6.2 for the review for Associate Professors.

### **A.1. Academic Year Prior to Review**

- April 1:** Office of Human Resources provides Department Chairs rosters of faculty members who must be reviewed for Continuing Appointment in upcoming review cycle.
- April 7:** Department Chairs notify in writing faculty members who must be reviewed for Continuing Appointment in the upcoming review cycle, and notify in writing all departmental faculty members of the deadline to apply for review for Promotion and/or Continuing Appointment in the upcoming review cycle.
- April 21:** Faculty member notifies Department Chair requesting consideration for Promotion and/or Continuing Appointment in the upcoming review cycle.
- April 28:** Department Chairs send Provost departmental rosters of candidates to be reviewed for Promotion and/or Continuing Appointment in the upcoming review cycle.

### **A.2. Academic Year of Review**

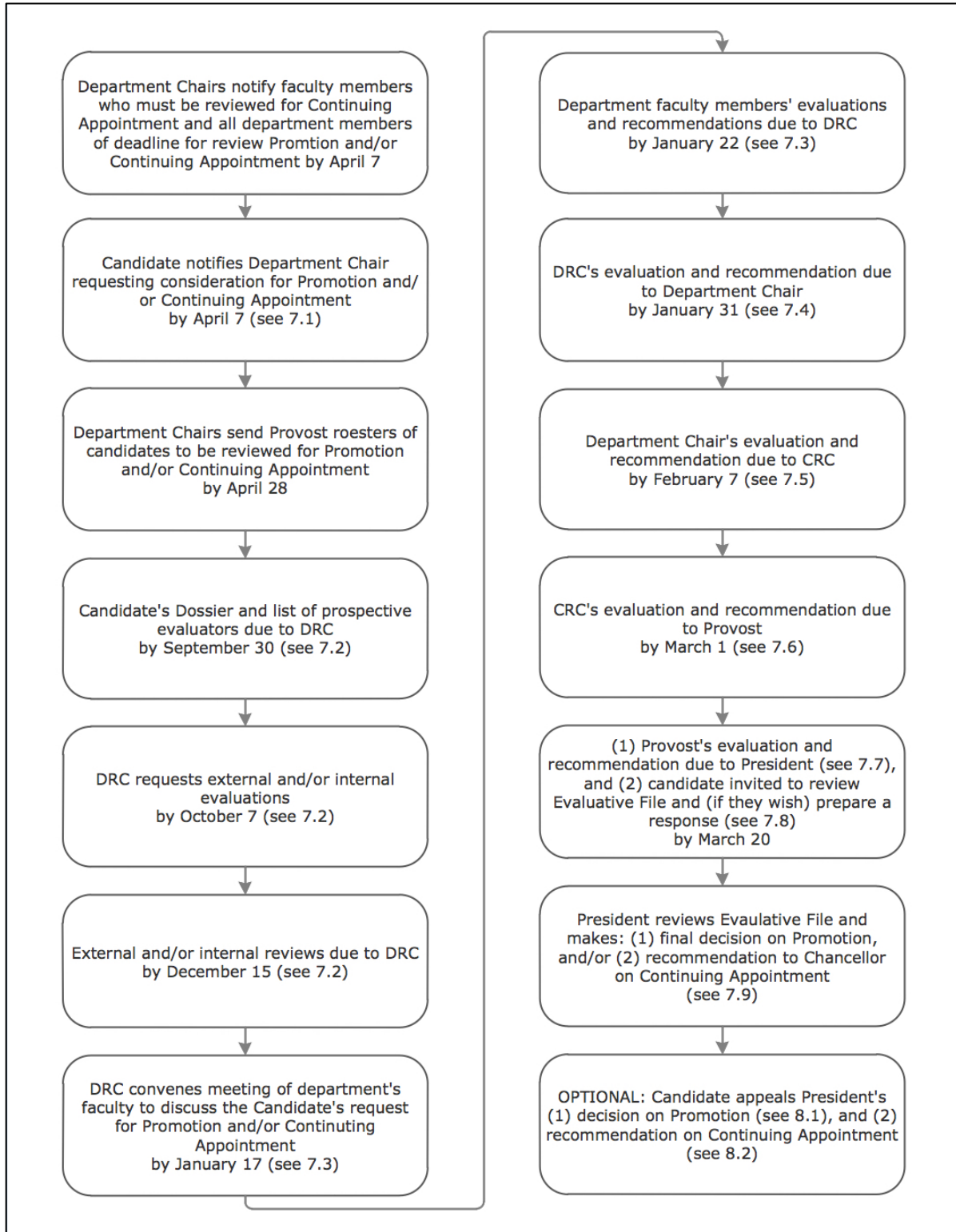
- September 30:** Candidates' dossiers due to DRC for review. Candidates must include a written list of prospective external and/or internal evaluators.
- October 7:** DRC solicits letters from external and/or internal evaluators for candidates for Promotion and/or Continuing Appointment.
- December 15:** External and/or internal evaluations due to DRC.
- January 17:** DRC convenes meeting with department faculty to discuss the candidates' requests for Promotion and/or Continuing Appointment.
- January 22:** Department faculty evaluations and recommendations due to the DRC.
- January 31:** DRC evaluations, recommendations, and other Evaluative File materials due to Department Chairs.
- February 7:** Department Chairs' evaluations, recommendations, and other Evaluative File materials due to CRC. Candidates receive a copy of the Department Chair's recommendation.
- March 1:** CRC's evaluation, recommendation, and Evaluative File materials due to the Provost.
- March 20:** Provost's evaluation and recommendations are added to the Evaluative File and sent to the Office of Human Resources, and copies are sent to candidates and Department Chairs. Candidates are invited to review Evaluative File and comment.
- April 1:** Presidential review begins.

### **A.3. Weekend Dates**

- A.1.1.** If any of the dates above fall on a weekend, the due date will be extended to the following Monday.

## APPENDIX B: ESF PROMOTION AND CONTINUING APPOINTMENT PROCESS

See section 7 for a comprehensive description of the process.



## APPENDIX C: CANDIDATES' EVALUATIVE FILES

Promotion and/or Continuing Appointment Evaluative Files include materials provided by candidates, as well as evaluations and recommendations added subsequently by reviewers. The Evaluative File must *only* include the following components listed below and *must* be organized in the order shown below.

### C.1. CANDIDATES' EVALUATIVE FILES

#### C.1.1. Dossier Prepared by Candidate:

- C.1.1.1. Cover Page, that describes the candidate's
  - C.1.1.1.1.1. Status, and
  - C.1.1.1.1.2. Requested action (i.e., Promotion and/or Continuing Appointment).
- C.1.1.2. Department Chair's Memorandum (see C.2.1.),
- C.1.1.3. Candidate's Statement (see C.2.2. below),
- C.1.1.4. *Curriculum Vitae* (CV) (see C.2.3. below),
- C.1.1.5. Teaching Portfolio (see C.2.4. below),
- C.1.1.6. Scholarship Portfolio, if applicable (see C.2.5. below),
- C.1.1.7. Service Portfolio, (see C.2.6. below),
- C.1.1.8. Copies of pre-Promotion and/or pre-Continuing Appointment reviews (see 7.1.2.2.7.) and
- C.1.1.9. Departmental Portfolio. This includes materials *required* by the candidate's department.
- C.1.1.10. Note: No other materials may be included in the candidate's dossier.

#### C.1.2. Materials Provided by Reviewers (and added to the Evaluative File as Received):

- C.1.2.1. Solicited evaluations and recommendations by external, internal, and unit directors,
- C.1.2.2. Evaluations and recommendations required by the candidate's department and solicited the DRC.
- C.1.2.3. Evaluations and recommendations by departmental faculty,
- C.1.2.4. The DRC's evaluation and recommendation,
- C.1.2.5. The Department Chair's evaluation and recommendation,
- C.1.2.6. The CRC's evaluation and recommendation, and
- C.1.2.7. The Provost's evaluation and recommendation.

### C.2. SPECIFICATIONS ON CANDIDATE'S DOSSIER MATERIALS.

#### C.2.1. Department Chair's Memorandum.

- C.2.1.1. This memorandum summarizes the candidate's work assignments for the evaluative period. It is written by the Department Chair after consultation with the candidate, and co-signed by the Department Chair and the candidate. At a minimum, it should specify the percentage of the candidate's work assignment allocated, as applicable, to: (1)



teaching; (2) scholarship; (3) university, college, and department service; (4) professional and public service; and (5) administrative service.

C.2.1.2. If the candidate's work assignment has changed during the evaluative period, the Department Chair's memorandum shall describe the period covered for each of work assignments.

**C.2.2. Candidate's Statement.** The candidate should prepare a statement, no more than three (3) pages in length that explains how the candidate's accomplishments and activities meet the College's and department's standards for Promotion and/or Continuing Appointment.

**C.2.3. Curriculum Vitae (CV).** A candidate's CV should be concise and include the following, in this order:

C.2.3.1. Education (institutions, degrees granted, dates);

C.2.3.2. Employment (institutions, positions, dates);

C.2.3.3. Courses taught (by year);

C.2.3.4. Publications, such as journal articles, books, book chapters, proceedings (differentiating between peer-reviewed or non-peer-reviewed);

C.2.3.5. Presentations (with dates given, and differentiating between invited or non-invited);

C.2.3.6. Research grants and contracts (include: (1) funding agencies, (2) dates, (3) amounts of funding, and (4) candidate's role as: PI, co-PI, or other);

C.2.3.7. Patents and licenses;

C.2.3.8. Department, College, and University service (with dates);

C.2.3.9. Professional and scientific society offices held (with dates);

C.2.3.10. Administrative service (with dates); and

C.2.3.11. Awards and honors received (with dates).

**C.2.4. Teaching Portfolio.** The Teaching portfolio should demonstrate contributions and effectiveness in teaching, and should include:

C.2.4.1. A personal evaluation of teaching, including (if applicable): (1) efforts to improve teaching skills, (2) new courses developed, (3) collaborative efforts with other faculty in teaching activities, and (4) innovations in teaching;

C.2.4.2. A table summarizing courses taught, credit hours, and enrollments since the candidate's initial Appointment;

C.2.4.3. A brief description of each course, including a list (if applicable) of: (1) key concepts, (2) skills taught, and (3) special features;

C.2.4.4. A table summarizing end-of-course student surveys; and

C.2.4.5. A list of teaching honors and awards.

**C.2.5. Scholarship Portfolio.** The Scholarship portfolio should demonstrate mastery of the subject area and continued professional growth, as well as discipline-specific

accomplishments, such as developing and executing significant research programs. The Scholarship portfolio should include:

- C.2.5.1. A personal evaluation of scholarship and research, including a description of what the candidate considers to be his/her most significant accomplishments and impact;
- C.2.5.2. A comprehensive table of publications, that includes (1) indication of the overall impact of the candidate's publications, such as their "h-index," or other citation metrics, and (2) the following:
  - C.2.5.2.1. For each publication, the candidate must classify the publication as: (1) peer-review, non-peer-reviewed, abstract, or popular, and (2) published, in press, accepted, or under review,
  - C.2.5.2.2. For each peer-reviewed publication, the candidate must provide the journal's impact factor, and
  - C.2.5.2.3. For each publication, the candidate must indicate with an asterisk any author that was a graduate student for whom the candidate served as (co-)major professor;
- C.2.5.3. A table of research proposals submitted and projects conducted, describing the: (1) title, (2) funding amount, (3) sponsor, (4) candidate's formal role (e.g., PI, Co-PI, consultant, etc.), (5) candidate's percentage effort for each multi-investigator grant, and (6) graduate students, post-docs, and technicians supported);
- C.2.5.4. A table summarizing presentations based on the candidate's scholarship at scientific and professional meetings, or other types of meetings. For each presentation, the candidate must indicate:
  - C.2.5.4.1. Whether the presentation was: (1) invited, (2) proposed and accepted, or (3) accepted (i.e. there was no review process; all presentations were accepted), and
  - C.2.5.4.2. With an asterisk any author that was a graduate student for whom the candidate served as (co-)major professor;
- C.2.5.5. A table summarizing: (1) master of science and doctoral students graduated, (2) their thesis/dissertation titles, (3) the number of credit hours of courses with 899 and 999 prefixes the candidate completed with each master of science and doctoral graduate students, and (4) current employment (for students with whom the candidate has contact);
- C.2.5.6. A list of: (1) manuscript reviews, (2) research proposals reviews, (3) external (non-ESF) promotion and tenure reviews, and (4) other reviews;
- C.2.5.7. A table of peer-review journal associate or assistant editorships, including (1) the candidate's area of responsibility, (2) number of manuscript reviews supervised each year, and (3) the journal's impact factor;
- C.2.5.8. A copy of any scholarly reviews of the candidate's books or other publications;
- C.2.5.9. A list of: (1) scholarly awards and honors, (2) patents pending and awarded, (3) invitations to speak, (4) appointments to national and international committees, (5) licensing or certification by professional organizations, and (6) book or journal editorial service; and

- C.2.5.10. A list summarizing actions taken to learn new concepts and techniques (e.g., professional workshops, classes, sabbatical leaves or involvement in professional societies and meetings).

### **C.2.6. Service Portfolio.**

- C.2.6.1. *University, College, and Department Service Section.* The University, College, and Department Service section demonstrates effective participation and leadership in furthering the mission of University, College and Department. The section should include:
- C.2.6.1.1. A personal evaluation of University, College, and Department service, including a description of what the candidate considers to be his/her most significant accomplishments and impact;
  - C.2.6.1.2. A table summarizing: (1) professional masters students (e.g. MPS, MLA, MF) graduated, (2) if applicable, the name of their project, and (3) current employment (for students with whom the candidate has contact);
  - C.2.6.1.3. A table summarizing undergraduate advising responsibilities;
  - C.2.6.1.4. A list of graduate student committee membership and chair assignments;
  - C.2.6.1.5. A list of University, College, or Department committee membership and chair assignments;
  - C.2.6.1.6. A list of activities that: (1) promote ESF and its programs, and (2) enhance student recruitment and retention at ESF; and
  - C.2.6.1.7. A list of University, College, and Department honors and awards.
- C.2.6.2. *Professional and Public Service Section (if applicable).* The Professional and Public Service section demonstrates: (1) effective participation public service, and/or (2) leadership in furthering the candidate's professional discipline. The section should include:
- C.2.6.2.1. A personal evaluation of professional and/or public service, including a description of what the candidate considers to be his/her most significant accomplishments and impact;
  - C.2.6.2.2. If applicable, a list of public service and outreach activities aimed at off-campus and non-peer audiences (e.g., public presentations);
  - C.2.6.2.3. If applicable, a list of leadership of national scientific and/or professional societies' major committees (e.g., science, publication, and policy committees);
  - C.2.6.2.4. If applicable, a list of national or state governments' advisory, review, or other boards the candidate has chaired (e.g. NSF panels, government task forces);
  - C.2.6.2.5. If applicable, a list of editorships of peer-review journals, including (1) number of manuscripts reviewed and published each year, and (2) the journal's impact factor; and
  - C.2.6.2.6. A list of professional and public service honors and awards.
- C.2.6.3. *Administrative Service Section (if applicable).* The Administrative Service section demonstrates effective leadership in major administrative responsibilities. The section should include:

- C.2.6.3.1. A personal evaluation of administrative service, including a description of what the candidate considers to be his/her most significant accomplishments and impact;
- C.2.6.3.2. A list of administrative appointments (such as Faculty Governance chair, Department Chairs, undergraduate and graduate coordinators) and accomplishments;
- C.2.6.3.3. A list of administrative service honors and awards.

## APPENDIX D-1: EXTERNAL REVIEWER REQUEST – E-MAIL SOLICITATION

Request for Tenure and Promotion Evaluation

Dear \_\_\_\_\_,

We hold your opinion of scholarship and academic excellence in high esteem and ask for your insights on an important Continuing Appointment (tenure) and promotion<sup>1</sup> decision.

Would you consider evaluating the tenure and promotion package of Dr. \_\_\_\_\_, an Assistant Professor<sup>2</sup> at the SUNY College of Environmental Science and Forestry (ESF) ([http://www.esf.edu/\\_\\_\\_/\\_\\_\\_\\_\\_](http://www.esf.edu/___/_____))?<sup>3</sup>

If you agree, you would have until mid-December 20\_\_ to review the candidate's dossier, which would be sent to you as a PDF file along with our department and university guidelines and standards for promotion and tenure at SUNY ESF.

Please let me know if we can take some of your valuable time for this very important process.

Best wishes,

\_\_\_\_\_

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<sup>1</sup> Adjust accordingly for candidates only being reviewed for Promotion or Continuing Appointment.

<sup>2</sup> Adjust accordingly for candidates who are Associate Professors.

<sup>3</sup> Add address for candidate's ESF webpage.

## APPENDIX D-2: EXTERNAL REVIEWER REQUEST – LETTER

Dear \_\_\_\_\_:

Thank you for agreeing to evaluate \_\_\_\_\_'s credentials for promotion to the rank of Associate Professor and Continuing Appointment (tenure)<sup>4</sup> at the State University of New York College of Environmental Science and Forestry (SUNY ESF). Dr. \_\_\_\_\_ is currently an Assistant Professor<sup>5</sup> on an academic year appointment within the Department of \_\_\_\_\_. Her negotiated time allocation is summarized in a memorandum written by the Department Chair in the file. Please consider the percentage allocations in that memorandum in your evaluation.

We seek your professional judgment of the impact and quality of Dr. \_\_\_\_\_'s scholarly and other contributions *relative to similarly ranked professionals in her field*. In your evaluation, please address each of the following points:

1. The nature and length of any relationship you have had with \_\_\_\_\_, including any potential conflicts of interest.
2. Your judgment of the candidate's scholarly and other accomplishments, including the productivity, quality, and significance to the profession of the candidate's research and publications.
3. Your recommendation regarding Dr. \_\_\_\_\_'s request for promotion to Associate Professor with tenure<sup>6</sup> based on the SUNY ESF and \_\_\_\_\_ guidelines and standards.
4. Your opinion of whether Dr. \_\_\_\_\_ would be granted promotion to Associate Professor with tenure within your institution.<sup>7</sup>

I have enclosed Dr. \_\_\_\_\_'s dossier and a copy of the UUP/SUNY Agreement Article 31.2 Solicited Materials Form. You may access the SUNY ESF tenure and promotion guidelines at \_\_\_\_\_. Particularly pertinent sections of this document are 1.4 (page 5), 1.6 (page 6), and 6.4 (page 13).<sup>8</sup> In addition, the Department of \_\_\_\_\_'s tenure and promotion standards can be found at \_\_\_\_\_.

In order to meet SUNY ESF's review deadline, I need to receive your evaluation and a completed Solicited Materials Form no later than December 15, 20\_\_\_. If you have any questions please contact me by phone (315-470-\_\_\_\_) or by e-mail (\_\_\_\_\_). Thank you in advance for your efforts to support this important process.

Sincerely,

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<sup>4</sup> Adjust accordingly for candidates requesting Continuing Appointment or Promotion to Professor.

<sup>5</sup> Adjust accordingly for candidates who are Associate Professors.

<sup>6</sup> Adjust accordingly for candidates requesting Continuing Appointment or Promotion to Professor.

<sup>7</sup> Adjust accordingly for candidates requesting Continuing Appointment or Promotion to Professor.

<sup>8</sup> Adjust accordingly for candidates requesting Continuing Appointment or Promotion to Professor.