

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

A. Preface

1. These policies and procedures seek
 - a. to provide maximum departmental autonomy in the development of policies and criteria on personnel matters,
 - b. to guarantee that the standards established by the Board of Trustees are upheld, and
 - c. that candidates are treated fairly.
2. These policies and procedures are in accordance with
 - a. the current Policies of the Board of Trustees;
 - b. the current Agreement between UUP and the State of New York; and
 - c. the current Compilation of Codes, Rules and Regulations, State of New York.
3. These policies and procedures guarantee the essential right of due process: a system of clear, orderly procedures in which the full disclosure of basic decisions and the specific reasons for those decisions are made at every stage of the process.
4. These policies and procedures are intended to serve the best interest of the University by providing the president with the maximum amount of information with which to make decisions while at the same time protecting the basic rights of the individual faculty member by assuring a fair hearing on those matters relating to professional life.
5. Faculty should provide specific reasons why a colleague should be reappointed, given continuing appointment, or promoted, rather than merely asking if reasons exist why s/he should not be reappointed, given continuing appointment, or promoted.
6. The [universitycollege](#) expects that faculty and administrators be candid, objective, and fair in the performance of their responsibilities.
7. These policies and procedures supersede all other [facultydepartment personnel](#) policies and procedures dealing with renewal of term appointment, granting of continuing appointment and promotion. If a conflict occurs between these policies and the Policies of the Board of Trustees and Agreement, the Board of Trustees Policies and Agreement take precedence.

B. ~~General~~ Guidelines for Academic Due Process

1. Definitions
 - ~~a.~~ ~~In this document the following applies:~~
 - ~~b.~~a. "Criteria" means the standards established for evaluating cases of renewal of term appointment, continuing appointment, or promotion.
 - ~~c.~~b. "Official file" refers to each faculty member's file maintained in the Provost's Office. (The official file shall be maintained in accordance with Art. 31 of the Agreement between UUP and the State of New York.) Copies of this file (except confidential materials, such as counseling memos) may be maintained in the dean's office and the faculty member's department.

- d-c. "Portfolio" refers to the compilation of work assembled by the faculty member and used in the personnel process.
- e-d. "Policies" means the rules governing the principles and structures of the decision-making process.
- f-e. "Procedures" means the process by which action is taken;
- g-f. "Recommendation" refers to a written statement conveying (a) recommended decision concerning a personnel matter; (b) the evidence and other pertinent data supporting the decision or recommended decision.
- h-g. "Recommender" is that person or committee obliged by these procedures to provide a personnel recommendation.

2. General Principles

- a. Recommendations on personnel matters, including continuing appointment, renewal of term appointment, and promotion shall be based on:
 - 1. The overall record of the candidate's training, teaching, and other relevant experiences and achievement in his or her academic field and related areas. (Note: Activities that are consistent with the [College's SUNY Cortland](#) mission and strategic plan are legitimate activities within the scope of professional obligations. They should be evaluated and entered under whichever categories on the personnel action form are appropriate for the specific activities.)
 - 2. Scholarly ability, as demonstrated by such things as success in developing and carrying out ~~significant~~ research work in the subject matter field, contribution to the arts, publications, and reputation among colleagues.
 - 3. Service to the [department, schools, SUNY Cortland, SUNY, College,](#) the community and to the profession while at Cortland.
 - 4. Criteria for librarian personnel procedures appear in the Library Personnel Committee Policies and Procedures.
- b. Evidence of the candidate's record will be submitted as a portfolio of evidence (hard copy or electronic) and will be used at all levels of review. This portfolio is distinct from the official personnel file maintained in the Provost's Office, as well as the copies of the personnel file which may be maintained in the dean's and departmental offices. The contents of the official file may include confidential materials (such as counseling memos) not necessarily contained in the portfolio, and they may be used for review only at the levels of the dean, provost, and president.
- c. A personnel committee operates under a rule of secrecy.
 - 1. Committee members, except for the chair, shall not discuss outside of a committee meeting, a candidate or their case with anyone not serving on the committee.
 - 2. During committee deliberations the committee chair may discuss a candidate's case with the Academic Faculty Affairs Committee at the specific direction of the committee and in accordance with these policies and procedures.

3. Once a committee has voted on a candidate, committee members may testify about a candidate and their case before the Academic Faculty Affairs Committee, an administrator, or a grievance official. However, they shall not later discuss a candidate's case with anyone not involved in the personnel process.
- d. Department chairs and members of all personnel committees shall function as independent evaluators. They shall make their decisions in accordance with the highest professional and academic principles, free from departmental, personal, or administrative pressures.
- e. Department chairs and members of personnel committees shall only review and consider materials included by a candidate in their current portfolio during the personnel review process. ~~Department chairs and members of personnel committees shall only use material from the portfolio, and shall make no use of private, secret files, in the personnel process.~~
- f. Documents recommending for or against continuing appointment, renewal of term appointment, or promotion should be clear as to the outcome being recommended. For promotions and continuing appointment, voting shall be to recommend or to not recommend. For renewal of appointment, voting shall be to recommend a term of one or two years, or to not recommend.
- g. A recommendation against continuing appointment, renewal of term appointment, or promotion shall be based mainly on grounds that bear on the candidate's scholarship, teaching, and service during their time at the College SUNY Cortland ~~during their time at Cortland.~~
- h. The deans, the director of libraries, the associate vice ~~president~~provost for information resources, the provost and the president shall make all personnel decisions in accordance with the principles of "due process."
- i. At each level of review from the dean upward, solicited or unsolicited documents may be used in the personnel review process, as specified in section K. below.
- j. The candidate shall be notified in writing (by the personnel committee chair, department chair, or school or sub-school chair) at least five working days before their qualifications are to be reviewed and given an opportunity to appear before the committee, or department chair, or to send a campus colleague to speak for them.

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

1. Formulation of Policy
 - a. Each department has the responsibility to develop personnel policies, procedures, and criteria on personnel matters consistent with the policies of the Board of Trustees, with the UUP Agreement, and with the CollegeSUNY Cortland Handbook. The department chair shall submit such policies, with any revisions, to the Academic Faculty Affairs Committee for approval. This determination shall be by majority vote of the Academic Faculty Affairs

Committee. The chair of the Academic Faculty Affairs Committee shall inform the department chair of the committee's decision and shall keep on file all records pertaining to the matter.

b. Alternate Departmental Promotion Criteria

If in the judgment of the department the criteria adopted by the Faculty Senate for rank-to-rank promotion (see Section 220.07.E) do not meet the unique needs of the department, the department may follow this procedure:

1. Submit its own set of criteria to the Academic Faculty Affairs Committee as an exception to the faculty criteria, taking care to provide documentation and justification warranting the granting of an exception.
 2. The Academic Faculty Affairs Committee shall consider the criteria as an exception to the faculty criteria (Section 220.07.E) and shall submit the alternate criteria to the Senate for consideration.
 3. By majority vote the Senate may recommend that the president consider accepting the department's criteria as a necessary and comparable substitute for the faculty criteria for rank-to-rank promotion.
 4. The president will meet with representatives of the department in question (as well as anyone else they deem necessary) and discuss the reasons for the alternate criteria. If the president should decide to accept the department's alternate criteria for promotion, they should so inform the Senate and these would become the basis for all recommendations on rank-to-rank promotions for that department, by the department committee, department chair, school or committee, school dean and provost.
- c. If the Academic Faculty Affairs Committee finds a department's personnel policies to be in violation of the [SUNY Cortland College Handbook](#), the Policies of the Board of Trustees, or the Agreement between the State and the bargaining agent, the Academic Faculty Affairs Committee shall indicate the specific points of violation after which the department shall revise its personnel policies and resubmit them to the Academic Faculty Affairs Committee for approval.
- d. Department personnel policies are kept on file in the office of the appropriate dean and of the provost.

D. Departmental Personnel Policies and Procedures

1. Departmental personnel policies and procedures shall be clear as to the basic procedures the department observes in making personnel decisions.
2. The specific criteria developed by the department shall include some definition of those matters which the department principally considers in making its recommendations.

3. The policies, procedures, and criteria shall reflect due regard for the character and needs of ~~SUNY Cortland~~~~the College~~ and department and shall be offered as indicative and descriptive rather than narrowly binding.
4. These policies, procedures, and criteria shall be approved by the respective department by the department-~~approved~~ voting procedures of the faculty of academic rank.
5. These policies, procedures, and criteria shall be reaffirmed or revised at least once every three years by the department-~~approved~~ voting procedures. After revision of the policies, procedures, and criteria, the department chair shall submit such revisions to the Academic Faculty Affairs Committee for its approval.
6. If the ~~Academic Faculty Affairs Committee~~ determines that a department's policies are not in compliance, ~~and the department refuses to bring the department's policies into compliance with the Handbook, the AFAC~~they may refer the matter to the ~~Faculty~~ Senate.
7. Copies of these policies, procedures, and criteria when reaffirmed or revised, shall be issued to all members of the department, the school personnel committee, the dean, the provost, and the president.
8. A faculty member may have the option to use the ~~department personnel~~ policies in effect at the time of their hire, or they may elect to use the most current version, so long as those policies are not in violation ~~of or inconsistent with the Handbook~~. A copy of the department policies shall be provided to each faculty member at the time of appointment. If the faculty member chooses to be evaluated under a previous set of policies, the burden is on them to provide those policies to reviewers at the beginning of the process.

E. Steps in the Personnel Review Process

1. The personnel review process for teaching faculty follows these steps:
 - a. Candidate prepares portfolio and Personnel Action Form
 - b. Review by Department Personnel Committee.
 - c. Review by Department Chair
 - d. Review by the School or Sub-School Personnel Committee
 - e. Review by the Dean
 - f. Review by the Provost
 - g. Review by the President
2. The personnel review process for librarians follows these steps:
 - a. Candidate prepares portfolio and Personnel Action Form
 - b. Review by Department Personnel Committee
 - c. Review by the Director ~~of Libraries~~
 - d. Review by the Associate Vice ~~President Provost~~ for Information Resources
 - e. Review by the Provost
 - f. Review by the President

F. Procedures for Continuing Appointment and Renewal of Term Appointment

1. Renewal of term appointments and continuing appointments follow the timeline set by the Human Resources Office. Faculty members shall compile and submit a portfolio of work and Personnel Action Form and submit the same to the department personnel committee by the appropriate deadline.
2. Once the department personnel committee has reviewed the portfolio, it shall forward its recommendations and specific reasons for them to the chair of the department or ~~library director~~ director of libraries. A copy of the committee's recommendation, along with the specific reasons for the recommendation, shall be sent to the candidate for renewal or continuing appointment.
3. The chair of the department or ~~library director~~ director of libraries shall submit the recommendation of the department personnel committee and their recommendation on continuing appointment or renewal of term appointment and the specific reasons for it in writing to the chair of the school personnel committee (or, in the case of librarians, the associate vice ~~provost~~ president for information resources). At the same time, they shall submit copies of their recommendation and the specific reasons for it to the candidate and the chair of the department personnel committee.
4. The chair of the school committee shall submit ~~to the candidate's portfolio, the committee's their~~ recommendation, (including the specific reasons for the recommendation, the voting procedures, and the record of the vote) to the dean and forward the material to the dean. For librarians, the associate vice ~~provost~~ president for information resources shall submit the candidate's portfolio, their recommendation, including and the specific reasons for the recommendation, and forward the material to the provost. At the same time, the chair of the committee or associate vice ~~provost~~ president for information resources shall send a copy of their recommendation to the the same information provided to the dean or provost to the candidate, the department chair or ~~library director~~ director of libraries, and the chair of the departmental personnel committee.

G. Procedures for Promotion

1. All promotions are based upon self-recommendations. Faculty members who wish to nominate themselves to be considered for promotion shall compile and submit a portfolio of work and Personnel Action Form and submit the same to the department personnel committee by the appropriate deadline.
2. A faculty member may choose to apply for both continuing appointment and promotion with the same portfolio. In this case, evaluators' letters should differentiate and provide reasons for the two decisions.
3. It is the responsibility of each level of review to independently evaluate a candidate's portfolio and write a letter of recommendation that includes specific reasons for the recommendation. The department personnel committee chair, the department chair/~~library director~~ of libraries, school or sub-school personnel committee, dean, and provost shall send their recommendation, and any prior-level recommendations, together with a candidate's portfolio, to the next level of review. Additionally, a copy of the recommendation shall also be sent to the candidate

under review and to the prior levels of review, including the chair of the department personnel committee, the department chair/library director of libraries, the chair of the school or sub-school committee, and dean/associate vice provost president for information resources, as appropriate. Once the department personnel committee has reviewed the portfolio, it shall forward its recommendations and specific reasons for them to the chair of the department or library director. A copy of the committee's recommendation, along with the specific reasons for the recommendation, shall be sent to the candidate for renewal or continuing appointment. The provost shall send their recommendation, the recommendations from prior levels of review, and the candidate's portfolio to the President of SUNY Cortlandthe College. The chair of the department or library director shall submit the recommendation of the department personnel committee and their recommendation on promotion and the specific reasons for it in writing to the chair of the school personnel committee (or, in the case of librarians, the associate vice provost for information resources). At the same time they shall submit copies of their recommendation and the specific reasons for it to the candidate and the chair of the department personnel committee.

4. The chair of the school committee shall submit to the candidate's portfolio their recommendation, the specific reasons for the recommendation, the voting procedures, and the record of the vote and forward the material to the dean. For librarians, the associate vice provost for information resources shall submit their recommendation and the specific reasons for the recommendation and forward the material to the provost. At the same time, the chair of the committee or associate vice provost for information resources shall send the same information provided to the dean or provost to the candidate, the department chair or library director, and the chair of the departmental personnel committee.

H. Rights and Responsibilities of Candidates for Continuing Appointment, Renewal of Term Appointment, and Promotion

1. Candidates are responsible for compiling a portfolio of material to be considered in the review process.
2. Only the candidate may add to their portfolio any material they wish to have considered in the decision-making process. In listing activities and scholarly accomplishments in the portfolio, the candidate shall adhere to the Code of Ethics (Section 220.10) and give credit where it is due.
3. The candidate shall be provided with a copy of all recommendations and decisions at each formal stage of the decision-making process.
4. Candidates shall refrain from exerting pressure on department chairs and personnel committee members. Similarly, faculty members shall not exert pressure on department chairs and personnel committee members regarding the personnel process.
5. Any faculty member having questions regarding the review process or problems deriving from it shall take them to the appropriate department chair and/or personnel committee chair for resolution. Should those questions or problems

remain unresolved, the faculty member may request assistance from the Academic Faculty Affairs Committee and the UUP Grievance Chair.

6. If a candidate adds to their portfolio at any time once the portfolio has been submitted, the addition must be documented in a dated memo included in the portfolio (to be placed at the front of the portfolio) with reasons given for the addition. Once submitted, no documents can be taken from the portfolio.
7. The candidate has the right to respond in writing to letters of recommendation. Such responses are sent to the next higher level in the review process.
- ~~8.~~ According to Article 31 of the UUP Agreement candidates with three or more consecutive years of service may request in writing a meeting with anyone in a supervisory role, including department chairs, the author of any review letter.

I. Departmental Review and Responsibilities

1. Personnel Committee
 - a. By September 8 each department shall establish a standing personnel committee on renewal of term appointment, continuing appointment, and promotion.
 - b. By vote of the department, a department with seven or fewer full-time members of academic rank has the option of operating as a personnel committee consisting of all the members of the department, with or without the department chair. When a department chooses to act in this manner, those departmental members may serve on the school or sub-school personnel committees.
 - c. By unanimous vote of the full-time members of the department with academic rank, a larger department has the option of operating as a personnel committee consisting of all the full-time faculty members with academic rank. This vote shall be taken annually in September for departments with more than seven full-time members. In this case, neither the department chair nor the departmental representative to the school personnel committee shall have a vote on the committee of the whole.
 - d. In departments with eight or more faculty members of academic rank, the chair will not serve on the departmental personnel committee.
 - e. Membership on departmental personnel committees is limited to full-time academic faculty members with academic rank.
 - f. Each department shall establish in its policies the procedures for selecting a chair of its personnel committee.
2. General Procedures
 - a. By the first day of classes of the academic year, the Provost shall establish and distribute the calendar of personnel actions and distribute the same to the deans and to department chairs and the library director of libraries.
 - ~~a-b.~~ The chair of the departmental committee and the chair of the department, or in the library, the director of libraries, shall apprise the candidate for continuing appointment, renewal of term contract or promotion of the

impending deliberations and need for decisions by September 1 in the academic year in which the review process takes place.

- b-c. Members of the departmental personnel committee, the department chair, and the school or sub-school personnel committee will limit their evaluation to the materials included in the portfolio submitted by the candidate and will use no other materials in their evaluation of the candidate.
- e-d. Academic departments are encouraged to include a list of recommended materials to be included in a candidate's portfolio, enabling the candidate the opportunity to submit materials that would be expected by the departmental committee.
- d-e. Academic departments are encouraged to ensure adequate mentoring of junior faculty in the preparation of the portfolio
- e-f. Committee decisions on recommendations shall be made by secret ballot and majority vote with a reasonable interval of at least one day but not to exceed one week allowed between the close of committee discussion and the deadline for balloting to permit each committee member judicious consideration of all factors pertinent to their decision.
- f-g. In the event that the candidate is a member of the committee, they shall abstain from deliberation and voting on their own case.
- g-h. Following committee action, the chair of the committee shall oversee the preparation of e a written statement that states the recommendation, the specific reasons for it, the voting procedures and the record of the vote. Copies of this statement shall be submitted to the candidate and to the department chair.

J. School Review and Responsibilities

1. Membership of the School Personnel Committee
 - a. Members of the school personnel committees shall serve as representatives of the interest of their departments, schools, and SUNY Cortland the College as a whole.
 - b. The Personnel Committee of the School of Professional Studies shall consist of one representative from each department within the school.
 - c. The Personnel Committee of the School of Education shall consist of one representative from each department within the school.
 - d. The Sub-School Personnel Committees of the School of Arts and Sciences (grouped according to department alignment in 150.03, Article VI, Section A, No. 2, a., b., and c. and No. 3, a. and b.) shall consist of one member from each department.
 - e. Membership on school personnel committees shall be limited to full-time, tenured, academic faculty members with unqualified academic rank.
 - f. School and sub-school committee members shall take office by Oct. 15.
 - g. Members of the school and sub-school personnel committees shall serve staggered two-year terms. They may not serve two consecutive terms, unless no alternative is available.

- h. Department chairs, acting department chairs, deans, assistant deans, and associate deans shall not be eligible for election or appointment to the school or sub-school personnel committees. In departments of eight or more members, department personnel committee members shall not be eligible for election or appointment to the school or sub-school personnel committees.
2. School Review Process
- a. In the matter of promotion, continuing appointment, and reappointment, the school committee shall weigh the evidence in the candidate's portfolio, in accordance with the candidate's department's personnel policies, and make its own independent recommendation accordingly.
 - b. The school personnel committee will use the letters of recommendation from the departmental personnel committee and chair, and material contained in the portfolio only for the purposes of evaluation. This committee will make use of no other materials during its evaluation.
 - c. Decisions on recommendations shall be made finally by secret ballot and majority vote with a reasonable interval of at least one day but not to exceed one week allowed between the close of committee discussion and the deadline for balloting to permit each committee member judicious consideration of all factors pertinent to their own decision.
 - d. In the event that the candidate is a member of the committee they may ~~shall~~ be replaced by their alternate, if available.

K. Administrative Reviews and Responsibilities

1. Following the school review, the dean (or director of libraries), associate vice ~~provost~~ president of information resources, provost, and president, in turn, shall make a recommendation on the candidate and provide reasons for the recommendation. Copies of the recommendation letter will be sent to the candidate, the department chair, the chair of the department personnel committee, and the chair of the school personnel committee.
2. Should the dean, ~~director of libraries~~, associate vice ~~provost~~ president of information resources, provost, or president make use of a solicited document not used at a previous level of evaluation they shall inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it, when feasible, before making a recommendation. The dean, ~~director of libraries~~ associate vice provost president for information resources, provost, or president may choose whether or not to reveal the names of authors of solicited documents.
3. Should the dean, ~~director of libraries~~, associate vice ~~provost~~ president of information resources, provost, or president make use of an unsolicited document, not used at a previous level of evaluation, they shall inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it, when feasible, before making a recommendation. The dean, ~~associate vice provost~~

~~president for information resources, director of libraries,~~ provost, or president must reveal the names of authors of unsolicited documents.

4. The dean or ~~director of libraries~~associate vice president for informational resources, provost, and president shall in all cases act in accordance with Article 31 of the Agreement between UUP and the State of New York.

220.07 CRITERIA FOR THE CONTINUING APPOINTMENT AND PROMOTION OF ACADEMIC FACULTY

A. Continuing Appointment and Promotions

1. Continuing appointment is necessary for the defense of academic freedom, the foundation of success in both teaching and scholarship. Continuing appointment at SUNY Cortland is taken seriously as the ~~university's~~College's investment in highly talented faculty members who have engaged in exemplary work over time, and who continue to make an ongoing commitment to the mission of ~~SUNY Cortland~~the College.
2. Promotion to any rank above that of instructor serves as a form of recognition of individual merit and thereby strengthens individual departments, ~~SUNY Cortland~~the College, and ~~SUNY~~the University. With respect to individual merit, promotion should be regarded both as recognition that an individual has achieved and maintained a level and quality of professional excellence appropriate to the rank sought and as a judgment that the individual is capable of maintaining and improving that level of work in the future. Recommendations for promotion should, therefore, provide specific reasons why a colleague should be promoted rather than merely ask if reasons exist why they should not be promoted. In light of these considerations, not all faculty members should expect to receive promotion to senior ranks during the course of their career at ~~SUNY Cortland~~the College.

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B. Educational Qualifications for Promotion

1. A faculty member must possess the doctoral degree or its equivalent as defined below, in order to be eligible for promotion beyond the rank of instructor, except as provided in Section C, below.
2. As used in this document, the term "appropriate degree" shall refer to:
 - a. the conventionally defined Ph.D., Ed.D., D.P.E., or similar academic degree,
 - b. foreign degrees ruled equivalent by the appropriate SUNY agency.
 - c. degrees widely recognized as terminal in a given profession (e.g. J.D., M.F.A., M.L.S., M.B.A.)
 - d. degrees or other educational qualifications defined by the Academic Faculty Affairs Committee suitable for the purpose of rank-to-rank promotion.
3. Degree granting institutions should be recognized by the appropriate accrediting bodies or a SUNY agency.
4. Under exceptional circumstances a faculty member lacking an appropriate degree may offer an equivalent body of independent scholarship or creative work in order to demonstrate a mastery of subject matter sufficient to be considered for promotion. Such a body of scholarship would ordinarily include a published monographic work or a series of articles or papers in scholarly journals. A faculty member in the performing or fine arts, or in a

comparable discipline, may offer a body of creative work that has received independent College Guidelines for Faculty professional recognition. In all cases, the burden of proof that the body of work is truly equivalent rests with the faculty member and with the recommending department.

5. The educational qualifications set forth in paragraphs B.1-3 may be waived only for those faculty members who satisfy the requirements set forth in B.4.

C. Criteria for Promotion

1. The term "criteria" means the standards established for evaluating candidates for promotion.
2. Any instructor, assistant professor, or associate professor who meets the educational qualifications set forth above and who satisfies the criteria for the next higher rank shall be eligible for promotion.
3. Criteria for rank of assistant professor shall include:

a. A demonstrated ability

(i) to organize and carry out courses of instruction in a manner that is intellectually sound and effective in terms of student learning, and

(ii) to assume a broad range of professional responsibilities for the educational development of students.

b. A demonstrated ability to undertake a potentially productive program of intellectual inquiry, research, or creative work. (The completion of the appropriate degree will normally satisfy this criterion.)

c. A demonstrated willingness to accept and discharge service responsibilities within the department or [SUNY Cortland](#) or to the community.

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4. Criteria for the rank of associate professor shall include:

a. A demonstrated and continuing ability

(i) to develop areas of instruction in a manner that is intellectually sound and effective in terms of students learning, and

(ii) to discharge in an effective manner a broad range of professional responsibilities for the development of students.

b. A demonstrated ability to undertake and successfully carry out a productive program of intellectual inquiry, research, or creative work and to do so with a degree of intellectual or creative excellence.

c. A demonstrated and continuing service to the department, ~~and the School, SUNY Cortland, College, the SUNY University,~~ or community, and profession in a manner that makes a significant contribution to the overall excellence of the institution and to the community of which it is a part.

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5. Criteria for the rank of professor shall include:

a. A demonstrated and continuing ability, acknowledged and recognized by peers

(i) to develop areas of instruction in a manner that is intellectually excellent and significantly effective in terms of student learning, and

(ii) to make a substantial contribution to the educational development of students.

b. A demonstrated and continuing ability to undertake and successfully carry out a serious and productive program of intellectual inquiry, research or creative work and to do so in a way that makes a contribution to the intellectual, scholarly or artistic community.

c. A demonstrated and continuing leadership role in service activities to the department, ~~and the College School, SUNY Cortland~~ the University, SUNY, or the community, and profession in a manner that makes a significant contribution to the overall excellence of the institution and to the community of which it is a part.

D. Notes

1. For disciplines to whose activities the above criteria cannot be reasonably adapted, equivalent criteria shall be determined by the discipline or department in question and approved by the Academic Faculty Affairs Committee. In all cases, the burden of proof that the criteria are equivalent shall rest with the discipline or department in question.
2. A person who does not meet the criteria described above may be eligible for promotion if exceptional circumstances are judged to warrant advancement. Such circumstances could include ~~an exceptional record of achievement in the areas of teaching and service, combined with evidence of a satisfactory record of scholarly activity. a truly exceptional record of achievement in two of the three areas of activity and a satisfactory record in the third.~~ The burden of proof that such achievements are of truly exceptional quality rests with the faculty member and with the recommending department.

E. Application of Promotion Criteria

1. Evidence of accomplishments in scholarship, teaching, and service, since the time of initial appointment or since the last promotion, whichever is more recent, shall be given primary consideration in all recommendations.
2. Recommenders shall take into consideration all supporting evidence presented by the candidate. Examples of the types of evidence ordinarily considered appropriate in each area are listed below. (Note: activities that are consistent with ~~the College~~ SUNY Cortland's mission and strategic plan are legitimate activities within the scope of professional obligations. They should be evaluated and entered under whichever categories on the personnel action form are appropriate for the specific activities.)
These lists should not be taken to exclude any evidence of meritorious accomplishment not specifically mentioned. While some types of evidence may be more important than others, it is the ~~responsibility~~ function of the recommender to judge the weight and quality of each item of evidence.

Teaching

academic advisement and counseling

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colleague observations
contribution to institutional change
course development
course outlines
curriculum development
development of SUNY-approved applied learning courses, and in the integration of teaching with service
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honors and awards for teaching
independent student scholarship
integration of undergraduate research, including community-based research
interdisciplinary instruction
internationalization and globalization
multiculturalism, diversity and inclusion
off-campus recognition
outdoor and environmental education
participation in learning communities
postgraduate student performance
recognition by colleagues
student evaluations of courses and field work
student recommendations
sustainability
work with student organizations

Scholarly, Intellectual and Creative Achievements

artistic achievements as demonstrated by recitals, shows, performances and exhibitions	Formatted Table
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books, monographs, edited books
community-based research
completion of unpublished work
consultative work or institutional research enhancing one's scholarship
editorial service for scholarly journals
encyclopedia entries
grant awards and fellowships
participation in proceedings or learned societies
presentations of papers and research reports
publication in peer-reviewed journals
reputation among colleagues as demonstrated by letters, citations, reviews and other honors
research and publications on pedagogy
research and publications pertaining to curricular development
reviews of manuscripts and books in the discipline
scholarly work that involves developing students as scholars
scholarship that integrates teaching and/or service
service to professional and learned societies
speeches, workshops, presentations

Service to the Department, [School, College, SUNY Cortland University, SUNY](#),
Profession and Community

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

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union service

work with the community, including community-based research

F. Using the above criteria, all recommendations shall be based upon qualitative as well as quantitative considerations in the areas of scholarly activity, teaching, and university service. In evaluating a candidate's work to determine whether a favorable recommendation is warranted, all recommenders shall consider and all recommendations shall explicitly address the following questions and provide supporting evidence with respect to scholarly activity, teaching, and university service, unless promotion is sought under the exception established in paragraph 220.07.E:

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G.1. _____ Has the candidate's past work achieved a level and quality of excellence appropriate to the rank sought?

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H. _____ 2. _____ Does the candidate demonstrate promise of continuing growth and continuing excellence in the future?

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F. External Review Promotion Process

1. Definitions and Statement of General Philosophy
 - a. "External Review" refers to the solicitation of an evaluation of the scholarly, intellectual, and creative achievement as outlined in Section 220.07.E by qualified professionals from outside SUNY Cortland. Unless otherwise indicated, the term professor or librarian will refer to the rank beyond associate professor or associate librarian.
2. The External Review Promotion Process applies only to those individuals who have begun their tenure-track academic appointment at SUNY Cortland after Aug. 15, 2009, and are applying for promotion from associate professor or associate librarian to professor or librarian. This external review process will be evaluated by the Faculty Senate within six years of its first application.
3. Individuals in the review process are expected to bear in mind the broad mission of SUNY Cortland, the definition of professional obligation contained in the Policies of the Board of Trustees, the diversity of disciplines and of departmental practices, and the weight significance of past practices when including external review in their processes. Recommending bodies (i.e., departmental personnel committees, school personnel committees) and individuals (i.e., chairs of departments, the director of libraries, deans, provost and president) shall take care that undue weight is not given to letters from external reviewers. They shall not be regarded as determinative, but as providing additional data for the candidate's promotion application. The goal of the External Review Promotion Process is to provide another perspective on the candidate's promotion application for the benefit of the candidate, personnel review committees, and recommending individuals at [SUNY Cortlandthe College](#).
4. External Review Promotion Process Requirements

- a. Each department is required to develop its own external review policies to include in their personnel policies. The department policies will conform to these parameters:
- b. The external review policies are required only for individuals applying for promotion from associate professor or associate librarian to professor or librarian.
- c. The candidate will have the responsibility for selecting the reviewers and soliciting and receiving the external letter(s) of review. Candidates retain the ability to review those letter(s), and to decide whether to include a particular letter in their portfolio. responsibility for including them with the promotion application.
- d. To provide context for their review, candidates shall provide to external evaluators ~~shall~~ shall be provided with a copy of Chapter 220.07: Criteria for Promotion and Continuing Appointment of Academic Faculty. ~~(inclusive of sections 230.01-230.05).~~
- e. No more than three letters shall be required under the provisions of this External Review policy. Departments may stipulate as few as one letter be required in their promotion policies.

~~K.G.~~ Criteria for Continuing Appointment

~~As a comprehensive college,~~ SUNY Cortland values good teaching, scholarship, and service.

1. A demonstrated and continuing ability

a. (i) to develop areas of instruction in a manner that is intellectually sound and effective in terms of students learning, and

1-b. (ii) to discharge in an effective manner a broad range of professional responsibilities for the development of students. Good teaching is enhanced by currency in the discipline.

2. A demonstrated and continuing ability to undertake and successfully carry out a productive program of intellectual inquiry, research, or creative work and to do so with a degree of intellectual or creative excellence.

Candidates for continuing appointment are expected to maintain an active scholarly agenda. While recognizing that different disciplines have different expectations regarding scholarly activity, three peer-reviewed works of scholarship or creative activity, or their equivalent as determined by the candidate's department, shall be considered a minimum expectation for continuing appointment and for the minimum institutional expectations across all disciplines is that three peer reviewed works of scholarship or creative activity, or their equivalent, are required for an affirmative recommendation for continuing appointment, for the ranks of assistant professor, senior assistant librarian, or those higher. It is incumbent upon the academic department to define equivalency for their discipline.

3. A demonstrated and continuing service that makes a significant contribution to the department, ~~School, and the College, the SUNY Cortland University, SUNY, or~~ community, and profession in a manner that makes a significant contribution to the overall excellence of the institution and to the community of which it is a part.
4. Evidence of the above is the same as evidence for promotion.

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