



# PROCESSES AND PROCEDURES FOR RENEWAL OF TERM APPOINTMENTS, CONTINUING APPOINTMENT, AND PROMOTION

## GENERAL CONTENTS

- Part 1**                      **Geneseo Process and Guidelines**
- Notice for Term Renewal
  - Notice for Continuing Appointment
  - Process of Review and Recommendation
  - College Guidelines
  - Evaluation Form H
- Part 2**                      **Preparation of Materials**
- Suggested Vita Format
  - Reflective Self-Evaluation
  - Materials for Evaluation of Teaching
  - Organization and Presentation
  - Checklist of Material to Submit
  - Deadlines for Personnel Recommendations
- Part 3**                      **Official SUNY, UUP & Geneseo Policies (*excerpts*)**
- Board of Trustees Policies; *excerpts*
  - Geneseo Policies and Procedures; *excerpts*
  - NYS/UUP 1999-2003 Agreement; *excerpts*

# Part 1

## Geneseo Process and Guidelines

- Notice for Term Renewal
- Notice for Continuing Appointment
- Process of Review and Recommendation
- College Guidelines
- Evaluation **Form H**

**Sample Letter**  
Notice of Consideration for  
Renewal of Term Appointment - **ACADEMIC**

Name  
Address  
Date

Dear \_\_\_\_\_

During the Fall/Spring semester of the 200x-20xx academic year, you will be considered for a renewal of your term appointment in the Department/School of \_\_\_\_\_. It is important that you submit to your department all the relevant professional information you believe should be considered. This should include a self-reflective statement about your accomplishments to date in teaching, your contributions to your discipline, and your service to the College, community and profession; a current vita, and any other material that support and/or document your accomplishments. The booklet containing the Personnel Processes and Procedures for Faculty that was given to you last year should be helpful in preparing the materials you wish to submit. There are excerpts in the booklet from three official documents that are relevant for the evaluation process. They are:

- 1) The Policies of the Board of Trustees, 2001  
**Article XI, Title A & B; Article XII, Title A**
- 2) The NYS/UUP Agreement 1999-2003, Articles 30, 31, 32 and 33
- 3) The Geneseo Policies and Procedures Manual  
Section 10, XVI, pp. xiii-xvii

Should you wish to consult these documents, they are easily available to you in your department office, my office, or the College's Personnel Services Office.

Following is the timeline for the Fall/Spring term renewal process for faculty in their second year of appointment:

<u>FALL</u>	<u>SPRING</u>	
September 15 <sup>th</sup>	February 1 <sup>st</sup>	Candidate materials due in Department office
October 15 <sup>th</sup>	March 1 <sup>st</sup>	Department & Department Chair recommendation due in Provost's Office
November 15 <sup>th</sup>	May 21 <sup>st</sup>	Provost's recommendation due in President's office

January 28<sup>th</sup>

August 31<sup>st</sup>

Notice to candidates of President's decision

This process of review and recommendation is designed to give you feedback on your performance during your first year, and to protect your interests and the interests of the institution. If you have any questions about this process, please feel free to call me if your department chair is unable to answer your questions.

I hope this finds you having a productive year.

Sincerely,

Katherine Conway-Turner  
Provost and Vice President for Academic Affairs

c: Department Chair/Dean/Director

**Sample Letter**  
Notice of Consideration for  
Renewal of Term Appointment - **LIBRARIAN**

Name  
Address  
Date

Dear \_\_\_\_\_

During the Fall/Spring semester of the 200x-20xx academic year, you will be considered for a renewal of your term appointment in the College Libraries. It is important that you submit to your department all the relevant professional information you believe should be considered. This should include a self-reflective statement about your accomplishments to date in professional performance, your contributions to the profession, and your effectiveness in University and community service; a current vita, and any other material that support and/or document your accomplishments. The booklet containing the Personnel Processes and Procedures for Faculty that was given to you last year should be helpful in preparing the materials you wish to submit. There are excerpts in the booklet from three official documents that are relevant for the evaluation process. They are:

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I hope this finds you having a productive year.

Sincerely,

Katherine Conway-Turner  
Provost and Vice President for Academic Affairs

c: Director

# Sample Letter

## Notice of Candidacy for Continuing Appointment - **ACADEMIC**

Name  
Address  
Date

Dear \_\_\_\_\_

During the Fall/Spring semester of 200x-xx academic year, you will be considered for a continuing appointment in the Department/School of \_\_\_\_\_. It is essential that you submit to your department all the relevant professional information that you believe should be considered. This should include a self-reflective statement about your accomplishments to date in teaching, your contributions to your discipline, and your service to the college, community and profession; a current vita, and any other materials that support and/or document your accomplishments. The booklet containing the Personnel Processes and Procedures for Faculty that was given to you last year should be helpful to you in preparing the materials you wish to submit. There are excerpts in the booklet from three official documents that are relevant for the evaluation process. They are:

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Should you wish to consult these documents, they are easily available to you in your department office, my office, or the College's Personnel Services Office.

Following is the timeline for the fall/spring decisions on continuing appointment.

<u>FALL</u>	<u>SPRING</u>	
September 15 <sup>th</sup>	February 1 <sup>st</sup>	Candidate materials due in Department office
October 15 <sup>th</sup>	March 1 <sup>st</sup>	Department & Department Chair recommendation due in Provost's Office
November 15 <sup>th</sup>	May 21 <sup>st</sup>	Provost's recommendation due in President's office
January 28 <sup>th</sup>	August 31 <sup>st</sup>	Notice to candidates of President's decision

You should be advised that situational criteria such as enrollment changes, programmatic changes or financial exigency must be considered by department committees, department chairs, and the Provost in making their recommendations, and by the President in making his decision. This careful process of review and recommendation is designed to protect your interests and the interests of the institution. If you have any questions about this process, please feel free to call me if your department chair is unable to answer your questions.

I hope this finds you having a productive year.

Sincerely,

Katherine Conway-Turner  
Provost and Vice President for Academic Affairs

c: Department Chair/Dean/Director



# Sample Letter

## Notice of Candidacy for Continuing Appointment - **LIBRARIAN**

Name  
Address  
Date

Dear \_\_\_\_\_

During the Fall/Spring semester of 200x-xx academic year, you will be considered for a continuing appointment in the College Libraries. It is essential that you submit to your department all the relevant professional information that you believe should be considered. This should include a self-reflective statement about your accomplishments to date in professional performance, your contributions to the profession, and your effectiveness in University and community service; a current vita, and any other materials that support and/or document your accomplishments. The booklet containing the Personnel Processes and Procedures for Faculty that was given to you last year should be helpful to you in preparing the materials you wish to submit. There are excerpts in the booklet from three official documents that are relevant for the evaluation process. They are:

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I hope this find you have a productive year.

Sincerely,

Katherine Conway-Turner  
Provost and Vice President for Academic Affairs

c: Director

**PROCESS OF REVIEW AND RECOMMENDATION  
FOR TERM APPOINTMENT AND  
CONTINUING APPOINTMENT**

1. Provost sends notice to candidate of consideration for term renewal (copy to department/school, chair/director/head).
2. Candidate submits materials in support of application to department/school chair/director/head.
3. Department/School committee and department chair/director/head review material and make separate recommendations to Provost; recommendations and candidate's portfolio (all materials considered by the department committee and chair) are sent to Provost's Office.
4. ***For Continuing Appointment Only*** – (This step is used in term renewal only if specifically requested by candidate) Faculty Personnel Committee reviews all materials sent to the Provost and makes independent recommendation to Provost and President.
5. Provost reviews materials and notifies candidate of his/her intended recommendation (copy to department chair).
6. Concurrent with #6, Provost notifies candidates of their, 1) right to review the complete evaluative file before the documents are forwarded to the President for consideration, 2) the right to file a statement in response to anything in the file before the file is forwarded to the President.
7. President reviews all recommendations and documents and notifies candidate of decision (copy to department chair).

## **College Guidelines for Appointment, Term Renewal, Continuing Appointment and Promotion**

### **LECTURER:**

Requirements include an advanced degree as defined by the discipline or in some cases extensive practical experience in a professional field as with performing artists or writers. Teaching experience at the college level and some evidence of research, writing, publication, or creative activity in the arts are desirable. Continuing appointment shall not be granted to holders of this rank.

### **INSTRUCTOR:**

Requirements include pursuit of a terminal degree as defined by the discipline or in some cases extensive practical experience in a professional field as with performing artists or writers. Teaching experience at the college level and some evidence of research, writing, publication, or creative activity in the arts are desirable.

### **ASSISTANT PROFESSOR:**

Requirements include the earned doctorate or other terminal degree as defined by the discipline or in some cases extensive practical experience in a professional field as with performing artists or writers, and wherever possible some successful teaching experience, evidence of depth and breadth in mastery of subject matter, and clear evidence of on-going research.

### **TERM RENEWALS:**

Requirements in the case of term renewals include increasing teaching effectiveness based upon evaluation by superiors, colleagues and students; evidence of on-going research presented in paper or article form, or in the case of the fine arts, performances, exhibitions, and the like; participation in professional organizations; and significant service to the department and college.

### **CONTINUING APPOINTMENT:**

Requirements include the doctorate or other terminal degree as defined by the discipline or in some cases extensive practical experience in a professional field as with performing artists or writers; demonstrated teaching effectiveness based upon evaluation by superiors, colleagues and students, including classroom visitation; evidence of growing expertise in subject matter; contributions to course design and curriculum development; evidence of recognized accomplishment in one's field that included research and publications, or in the fine arts, performance activity or exhibitions; and

significant departmental and college-wide service. Normally, at least three years of term appointment status shall be required before continuing appointment is granted.

**ASSOCIATE PROFESSOR:**

Requirements include the earned doctorate or other terminal degree as defined by the discipline or in some cases extensive practical experience in a professional field as with performing artists or writers; demonstrated teaching effectiveness based upon evaluation by superiors, colleagues and students, continuing expertise in subject matter; contributions to curriculum and course design; evidence of significant research and publication (e.g. conference papers, refereed articles in important journals in the field, books or books-in-progress, textbooks, funded research activities) or creative activities in the arts (e.g. exhibitions, performances); participation in professional organizations; and significant service to the department and college. Usually, those who hold this rank will hold continuing appointment.

**PROFESSOR:**

Requirements include the earned doctorate or other terminal degree as defined by the discipline or in some cases extensive practical experience in a professional field as with performing artists or writers; demonstrated evidence of consistent and superior teaching for a number of years based upon the evaluation of superiors, colleagues and students; continuing expertise in subject matter; significant contribution to course design and curricular development; a track record, recognized by authorities in the field, of important research and publication or creative activity in such forms as books, articles, musical compositions, performances, or works of art; a demonstrated leadership role in service at the departmental, college community or national level. Usually, those who hold this rank will hold continuing appointment.

Passed by Faculty Affairs Committee, March 12, 1991

Published on page 247 of College Senate Bulletin, March 18, 1991

Passed with minor change in wording by College Senate, April 30, 1991

JUSTIFICATION
FOR CONTRACT RENEWAL, PROMOTION,
OR CONTINUING APPOINTMENT

Date: \_\_\_\_\_

CANDIDATE'S NAME: \_\_\_\_\_

Name of Person Submitting Evaluation:
\_\_\_\_\_

ACTION CONSIDERED (only one action per form):

Term Contract Renewal from \_\_\_\_\_ to \_\_\_\_\_
Continuing Appointment effective \_\_\_\_\_

Promotion from \_\_\_\_\_ to \_\_\_\_\_

A. INSTRUCTION (Total Weighting for Instruction = .5)

1. Intellectual Rigor (Weighting = .2) \_\_\_\_\_ x .2 = \_\_\_\_\_

Assess the intellectual rigor represented by the candidate's 1) design of courses, 2) content of courses, and 3) expectations of students, in testing and other class assignments. Are courses taught at the appropriate level of difficulty? Is the candidate well versed in the discipline's latest developments and able to integrate research interests into class materials?

1 2 3 4 5 6 7 8 9 10
minimal fair good superior outstanding
(insert justification of rating here)

2. Classroom Performances (Weighting = .2) \_\_\_\_\_ x .2 = \_\_\_\_\_

Assess the candidate's performance in the classroom. How effective is the candidate's teaching style(s)? Are the class periods well organized to present materials clearly to students? Does the candidate stimulate students into active learning and critical questioning? Does the candidate help students to reach course expectations?

1 2 3 4 5 6 7 8 9 10
minimal fair good superior outstanding
(insert justification of rating here)

**3. Responsiveness to Students (Weighting = .1) \_\_\_\_\_ x .1= \_\_\_\_\_**

Assess the responsiveness of the candidate to students, both in and out of class. Is the candidate readily available for student assistance? For responsible advising? Does the candidate provide helpful feedback to promote learning? Is the candidate sensitive to meeting the needs of a diverse student population? Has the candidate been involved in any of the following: direction of independent study, thesis supervision, inclusion of students in research projects, academic meetings, creative projects and/or field trips?

1      2      3      4      5      6      7      8      9      10  
minimal      fair      good      superior      outstanding  
*(insert justification of rating here)*

**B. CONTRIBUTIONS TO THE DISCIPLINE (Weighting = .35) \_\_\_\_\_ x .35= \_\_\_\_\_**

Assess the candidate's standing in the appointed discipline relative to rank, teaching load, and stage of career. Consider the range of research and/or creative activities and public expressions that the candidate's discipline requires of active scholars or creative artists. This should include a combination of some of the following: published books, monographs, articles, book reviews, textbooks, musical compositions, works of art, creative projects and performances, exhibited work, receipt of grants and awards, fellowships, consultancies, seminar and workshop leadership, conference and workshop attendance (particularly chairing sessions, delivering papers, and serving as a respondent).

1      2      3      4      5      6      7      8      9      10  
minimal      fair      good      superior      outstanding  
*(insert justification of rating here)*

**C. PROFESSIONAL AND PUBLIC SERVICE (Weighting = .15) \_\_\_\_\_ x .15 = \_\_\_\_\_**

Assess the candidate's degree of commitment to service, within and beyond the college community relative to the number of years at the college. Has the candidate served extensively on college-wide committees? Has the candidate found useful outlets for professional expertise in community service? Has the candidate served professional bodies on the regional, national, and/or international level?

1      2      3      4      5      6      7      8      9      10  
minimal      fair      good      superior      outstanding  
*(insert justification of rating here)*

**Final Numerical Rating (total of A1, A2, A3, B & C) \_\_\_\_\_**

**D. ADDITIONAL COMMENTS:**

**E. RECOMMENDATION:**

Recommended \_\_\_\_\_

Not Recommended \_\_\_\_\_

**F. SIGNATURES(S) OF DEPARTMENT CHAIR/DIRECTOR/HEAD OR  
DEPARTMENT/SCHOOL COMMITTEE:**

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**JUSTIFICATION  
FOR CONTRACT RENEWAL, PROMOTION,  
OR CONTINUING APPOINTMENT**

Date: \_\_\_\_\_

CANDIDATE'S NAME: \_\_\_\_\_

Name of Person Submitting Evaluation: \_\_\_\_\_

**ACTION CONSIDERED** (only one action per form):

Term Contract Renewal from \_\_\_\_\_ to \_\_\_\_\_

Continuing Appointment effective \_\_\_\_\_

Promotion from \_\_\_\_\_ to \_\_\_\_\_

**A. PROFESSIONAL PERFORMANCE (Total weighting = .8)**

**1. Effectiveness in Performance (Weighting = .5) \_\_\_\_\_ x .5= \_\_\_\_\_**

Assess the candidate's performance of basic job responsibilities. Factors to be evaluated may include success, efficiency, and productivity in carrying out assigned duties; command of subject matter in assigned function; and willingness to accept increased responsibility and handle it successfully.

1	2	3	4	5	6	7	8	9	10
minimal		fair		good		superior		outstanding	

*(insert justification of rating here)*

**2. Professional Ability (Weighting = .2) \_\_\_\_\_ x .2= \_\_\_\_\_**

Assess the candidate's professional qualities which facilitate effective performance. Factors to be evaluated may include organizational skills, communication skills, commitment to service, dependability, judgment, dedication, enthusiasm, initiative, creativity, and ability to work effectively with colleagues. Professional ability may be demonstrated by reorganization of departments or functions to increase efficiency, introduction of innovative services or procedures, or preparation of library publications, training materials, or internal reports.

1	2	3	4	5	6	7	8	9	10
minimal		fair		good		superior		outstanding	

*(insert justification of rating here)*

**3. Continuing Professional Growth (Weighting = .1) \_\_\_\_\_ x .1= \_\_\_\_\_**

Assess the candidate's degree of commitment to ongoing professional development. Factors to be evaluated may include continuing education, attendance at workshops and conferences, additional postgraduate degrees, and membership and participation in professional organizations

1	2	3	4	5	6	7	8	9	10
minimal		fair		good		superior		outstanding	

*(insert justification of rating here)*

**B. CONTRIBUTIONS TO THE PROFESSION (Weighting = .1) \_\_\_\_\_ x .1= \_\_\_\_\_**

Assess the candidate's formal contributions to librarianship relative to rank and stage of career. Factors to be evaluated may include lectures or papers presented at professional workshops or conferences, offices held or other active participation in professional organizations, consulting work, grant seeking, research (including research in progress), scholarly publications, honors, awards, or reputation among colleagues and in the profession.

1	2	3	4	5	6	7	8	9	10
minimal		fair		good		superior		outstanding	

*(insert justification of rating here)*

**C. EFFECTIVENESS IN UNIVERSITY AND COMMUNITY SERVICE (Weighting = .1)  
\_\_\_\_\_ x .1= \_\_\_\_\_**

Assess the candidate's degree of commitment to service, within and beyond the college community. Factors to be evaluated may include successful committee work, participation in campus and University governance, and involvement in campus or University related student or community activities.

1	2	3	4	5	6	7	8	9	10
minimal		fair		good		superior		outstanding	

*(insert justification of rating here)*

**Final Numerical Rating (total of A1, A2, A3, B & C) \_\_\_\_\_**

**D. ADDITIONAL COMMENTS:**

**E. RECOMMENDATION:**

**Recommended** \_\_\_\_\_

**Not Recommended** \_\_\_\_\_

**F. SIGNATURE(S) OF DEPARTMENT CHAIR/DIRECTOR/HEAD OR  
DEPARTMENT/SCHOOL COMMITTEE:**

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## **Part 2**

### **Preparation of Materials**

- Suggested Vita Format
- Reflective Self-Evaluation
- Materials for Evaluation of Teaching
- Organization and Presentation
- Checklist of Material to Submit
- Deadlines for Personnel Recommendations

**Suggested Form of Vita  
Continuing Appointment, Term Renewal, Promotion**

I. EDUCATION

II. ACADEMIC EMPLOYMENT/EXPERIENCE HISTORY

III. COURSES TAUGHT

- List all courses taught at Geneseo with indication of new courses or curricula developed
- Awards related to teaching

IV. SCHOLARLY AND CREATIVE ACTIVITY

- Publications (in proper bibliographic form with acceptance/rejection rate of journal if known)
- Exhibitions/Performances (juried or invited)
  
- Works Submitted
- Works in Progress
  
- Conference Presentations (indicate if juried or invited)
- Discussant/Panelist at Professional Meetings
  
- External Grants Funded
- External Grants Submitted
  
- Adjudications/Workshops
- Other Invited Work
  
- Honors and Awards Related to Scholarly and Creative Activity

V. SERVICE

- Department & College Service
- Community Service **RELATED** to Profession
- Service to the Discipline/Profession

VI. PROFESSIONAL GROWTH

VII. OTHER RELEVANT PROFESSIONAL ACCOMPLISHMENTS OR WORK

All entries should be listed in chronological order with the **most recent dates first**. Be as clear and specific as possible about dates, titles, organizations, etc. Documentation supporting the entries in your vita should be included in the supporting materials submitted.

**Suggestions for Preparing a Reflective Self-Evaluation Statement**

## **Purpose**

The reflective self-evaluation statement is an opportunity for the candidate to provide an interpretation of the materials submitted in support of term renewal, continuing appointment or promotion. This statement should not merely restate accomplishments or information that is already in the vita, but rather should reflect on the significance of the evidence presented in the areas of teaching effectiveness, contributions to the discipline, and service. Reflections on teaching should include brief teaching philosophy, how that philosophy is used in practice, adjustments and changes to teaching methodology over time, use of SOFI scores and comments and peer reviews to make improvements and/or adjustments to teaching. Reflections on the contributions to the discipline should include a brief discussion of progress in research/creative agenda, and how the contributions relate to and advance debates and knowledge in the discipline, or contribute artistically to the field. Reflections on the significance of service contributions should include how they contribute to the goals of the department/college and/or how professional service has been used for the public good.

## **Outline**

The reflective self-evaluation statement should be organized according to sections that are based on the SUNY Board of Trustees guidelines and that are consistent with Form H:

- Introduction
- Teaching Effectiveness
- Contributions to the Discipline
- Service
- Growth

## **Materials Pertinent to the Evaluation of Teaching**

**to be included in all submissions for  
Term Renewal, Continuing Appointment and Promotion**

**I. Evidence of Teaching Effectiveness Supplied by Candidate & Department:**

As part of the process of forwarding a candidate for consideration in a term renewal, continuing appointment, or promotion decision, the following information should be forwarded as evidence of the candidate's teaching effectiveness.

- A. Representative samples of syllabi and other instructional materials from courses taught by the candidate.
- B. Peer Evaluation
  - 1. Classroom visits by the chair and at least one other faculty member.
  - 2. Written comments on the visits in some common format that is specific to the department.
  - 3. An evaluation record from several years, including the present, reflecting the full tenure of the candidate's appointment.
  - 4. Evaluations of more than one course (but not necessarily all courses taught by the candidate) reflecting the candidate's varied teaching assignment.
- C. Systematic prose comments reflecting the candidate's varied teaching assignment.

**II. SOFI & Grade Distribution**

Grade distribution data and Student Opinion of Faculty Instruction statistical information exist in the public domain, and as such are used in the decision process for reappointment, continuing appointment, and promotion.

- A. Graphs of all classes where SOFI's were given
- B. SOFI written comments – Submission of SOFI written comments in these processes is voluntary on the part of the candidate. Should a candidate choose to submit SOFI written comments for review, it is strongly recommended that all SOFI forms from any given course be forwarded.

**Organization and Presentation  
of materials for  
Contract Renewal, Continuing Appointment and Promotion**

Materials for contract renewal, continuing appointment, and promotion are most helpful when they are presented in a manner that enables readers 1) to get an overview of the candidate's career and contributions at Geneseo, and 2) to consult documentation that supports the points made in the overview. Therefore, it is helpful for the materials to be divided into two sections. The **overview** materials would contain:

- The reflective self-evaluation
- The vita

The supporting materials would contain items such as the following (also be sure to check departmental regulations for supporting materials):

- Selected publications
- Course materials such as syllabi, exams, and handouts
- Quantitative summaries of SOFI forms
- Written comments from SOFI forms, if these are submitted
- Grade distribution information
- Letters from publishers, grant reviewers, etc. when relevant

The overview materials should be submitted separately from the supporting documents. These documents are best submitted in a 3-ring binder or a plastic case, with clearly labeled manila folders.

**CHECKLIST**



## **MATERIALS TO SUBMIT**

### **Candidates to Department Chair:**

\_\_\_\_\_ Overview Materials

- Reflective Self-Evaluation
- Candidate Vita

\_\_\_\_\_ Supporting Documents

### **Chairs, Directors, Heads to Provost:**

\_\_\_\_\_ Administrative Folder

- Candidate Reflective Self-Evaluation
- Candidate Vita
- Form H from Chair
- Form H from Department Personnel Committee
- Form G

\_\_\_\_\_ Supporting Documents

## DEADLINES FOR PERSONNEL RECOMMENDATIONS

	<b>Candidate's Materials due in Dept/School Office</b>	<b>Department Recommendation due in Provost's Office</b>	<b>FPC Recommendations given to Provost &amp; President</b>	<b>Provost's recommendation due in President's Office</b>	<b>Contractual Notification Date</b>
<b>Term Renewal:</b>					
Spring	February 1	March 15	N/A unless specifically requested	May 1	September 1
Fall	September 15	October 15		November 15	Official start of 2 <sup>nd</sup> semester
Faculty in the 2 <sup>nd</sup> year of initial appt.	September 15	October 15		November 15	December 15
<b>Continuing Appointment:</b>					
Spring	February 1	March 1	April 25	May 20	September 1
Fall	September 15	October 15	November 15	December 15	Official start of 2 <sup>nd</sup> semester
<b>*Promotion</b>	<b>March 1</b>	<b>April 15</b>	<b>June 1</b>	<b>June 15</b>	<b>N/A</b>

**NOTE:** When department constitutions contain a review process that takes more than one month, the department chair may require candidates for continuing appointment to submit their materials earlier than the established deadlines.

When any of the above deadlines fall on a weekend, or an official holiday: in the case of a weekend, materials will be due on Monday; in the case of a holiday, materials will be due day immediately following the holiday.

**\*Promotions are considered only in the Spring semester.**

## **Part 3**

### **Official SUNY, UUP & Geneseo Policies (*excerpts*)**

- Board of Trustees Policies; *excerpts*
- Geneseo Policies and Procedures; *excerpts*
- NYS/UUP 1999-2003 Agreement; *excerpts*

*excerpted from*  
**Policies of the Board of Trustees, 2001**

**Article XI**  
**APPOINTMENT OF EMPLOYEES**

**Title A. Procedure**

1. *Procedure.* The chief administrative officer of a college, after seeking consultation, may appoint, reappoint, or recommend to the Chancellor for appointment or reappointment, as may be appropriate to the nature of appointment provided for herein, such persons as are, in the chief administrative officer's judgment, best qualified. Such appointments shall be consistent with the operating requirements of the college. For purpose of this Article, the term "consultation" shall mean consideration by the chief administrative officer of a college of recommendations of academic or professional employees, including the committees, if any, of the appropriate department or professional area, and other appropriate sources in connection with appointment or reappointment of a specified employee; provided, however, that nothing contained herein shall prevent the chief administrative officer of a college from taking such actions as he or she may deem necessary to meet notice requirements in the event of non-renewal of term appointments.

**Title B. Continuing Appointment**

3. *Eligibility*

(a) Continuing appointment as Professor, Associate Professor, Librarian or Associate Librarian. Continuing appointment as Professor, Associate Professor, Librarian or Associate Librarian may be given by the Chancellor on initial appointment or thereafter. Except as provided in subdivision (c) of this section, further employment as Professor, Associate Professor, Librarian or Associate Librarian after the third consecutive year of service in any one or any several of these ranks at any one college must be on the basis of continuing appointment, provided, however, such appointment shall not be effective until made so by the Chancellor, and provided further that promotion to any of these ranks shall not operate to extend the service requirements for continuing appointment described in subdivision (b) of this section.

(b) Continuing appointment as Assistant Professor, Instructor, Senior Assistant Librarian or Associate Librarian. Except as provided in subdivision (c) of this section, further employment at any college of an appointee who has completed a total of seven years of service in a position or positions of academic rank of which the last three consecutive years have been in a position of academic rank at that college as Assistant Professor, Instructor, Senior Assistant Librarian or Assistant Librarian, must be on the basis of a continuing appointment; provided, however, such appointment shall not be effective until made so by the Chancellor. An Assistant Professor,

Instructor, Senior Assistant Librarian or Assistant Librarian shall not be eligible for continuing appointment at any of these ranks prior to the completion of a total of seven years in a position or positions of academic rank.

(d) Service Credit.

(1) In determining eligibility for continuing appointment under subdivision (b) of this section, satisfactory full-time prior service in academic rank at any other accredited academic institution of higher education may, at the request of the appointee and in the discretion of the Chancellor, or designee, be credited as service, up to a maximum of three years, at the time of appointment at a college. Waiver of all or part of this service credit shall be granted upon written request of the employee to the chief administrative officer not later than six months after the date of initial appointment.

(2) In computing consecutive years of service for the purposes of appointment or reappointment to the academic staff, periods of leave of absence at full salary shall be included; periods of leave of absence at partial salary or without salary and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

#### **Title D. Term Appointment**

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

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

**ARTICLE XII  
EVALUATION AND PROMOTION OF ACADEMIC  
AND PROFESSIONAL EMPLOYEES**

**Title A. Evaluation of Academic Employees**

1. *Policy.* It is the policy of the University to evaluate academic employees.
  
2. *Purpose.* The purpose of evaluation pursuant to this Title shall be the appraisal of the extent to which each academic employee has met his or her professional obligation. Written communication of such appraisal shall be sent to the academic employee concerned. The evaluations conducted pursuant to this Title may be considered by the chief administrative officer of a college and the college administrative officers in making decisions or recommendations with respect to continuing appointments, renewal of term appointments, promotions, discretionary adjustments to basic annual salary and for any other purpose where an academic employee's performance may be relevant consideration. Nothing contained herein shall prevent the chief administrative officer from taking such action as the chief administrative officer may deem appropriate to the operating requirements of the college.
  
3. *Applicability.* Pursuant to this Title academic employees may be evaluated; such evaluation, if any, is to be made by the chief administrative officer, or designee.
  
4. *Criteria.* In conducting evaluations pursuant to this Title, the chief administrative officer of the college concerned, or designee, may consider, but shall not be limited to consideration of, the following:
  - (a) Mastery of subject matter – as demonstrated by such things as advanced degrees, licenses, honors, awards and reputation in the subject matter field.
  
  - (b) Effectiveness in teaching – as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses and student reaction, as determined from surveys, interviews and classroom observation.
  
  - (c) 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.
  
  - (d) Effectiveness of University service – as demonstrated by such things as college and University public service, committee work, administrative work and work with students or community in addition to formal teacher-student relationships.
  
  - (e) Continuing growth – as demonstrated by such things as reading, research or other activities to keep abreast of current developments in the academic employee's fields and being able to handle successfully increased responsibility.

## **Title B. Promotion and Academic Employees**

1. *Procedure.* The chief administrative officer of a college, after giving consideration to recommendations of academic employees, including the committees, if any, of the appropriate department or professional area and other appropriate sources in connection with promotion of a specific academic employee, may promote, or recommend to the Chancellor for promotion, such persons as are, in the chief administrative officer's judgment, best qualified. Nothing contained herein shall prevent the chief administrative officer of a college from taking such promotion actions as the chief administrative officer may deem appropriate to the operating requirements of the college.

2. *Criteria.* Recommendations of academic employees, or their appropriate committees, or other appropriate sources may consider, but shall not be limited to consideration, of the following:

(a) Mastery of subject matter – as demonstrated by such things as advanced degrees, licenses, honors, awards and reputation in the subject matter field.

(b) Effectiveness in teaching – as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses and student reaction, as determined from surveys, interviews and classroom observation.

(c) 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.

(d) Effectiveness of University service – as demonstrated by such things as college and University public service, committee work, administrative work and work with students or community in addition to formal teacher-student relationships.

(e) Continuing growth – as demonstrated by such things as reading, research or other activities to keep abreast of current developments in the academic employee's fields and being able to handle successfully increased responsibility.

3. *Length of Service.* Completion of a minimum period of service with the University may be a consideration but shall not be a qualification for promotion.

**Note:** *The above items are selected excerpts only and are presented to assist you in the personnel process. Candidates are strongly advised to consult the 2001 Policies of the Board of Trustees of the State University of New York, Articles XI and XII in their entirety.*

*extracted from*  
**Geneseo Policies and Procedures Manual**

Section 10, Article XVI, pp.xiii-xvii

**XVI. Teaching Faculty Continuing Appointment, Renewal of Term: Annual Procedure**

General Procedure

- a. During the Fall term, the Provost meets with department chairs to ascertain that the list of names of the faculty to be considered in a given year with respect to renewal of term and continuing appointment is correct.
- b. In each category of action—continuing appointment, renewal of term—the department, acting with the terms of its constitution and usually utilizing a department committee, considers the several candidates and makes its recommendation and the recommendation of the departmental committee. These two recommendations are not always in agreement.

It should be clearly understood by the candidate that no one can orally promise continuing appointment or renewal of term.

- c. Consideration of faculty on two and three-year term appointments and those eligible to be considered for continuing appointment begins in mid-March with the submission of department recommendations to the Provost.
- d. Periodic Review

When a faculty member on a term appointment is being considered for renewal, this examination should be considered as a periodic review of his/her overall performance. Regardless of the final determination of the matter, the review should be conducted by the department with the intent of improving the candidate's performance, as well as providing the candidate with appropriate academic counsel.

- e. Opportunity to Submit Material
  1. The faculty member shall be advised by his/her department chairperson and the Provost of the time when decisions affecting renewal and continuing appointment are ordinarily made, and shall be given the opportunity to submit material which he/she believes will be helpful to an adequate consideration of his/her circumstances.
  2. The Provost considers each candidate in the two categories on the basis of the criteria contained in Article XII, Title A, Section 4, Policies of the Board of Trustees, 2001.



3. Each candidate is considered on his/her own merits, and where there is more than one candidate for renewal of term or continuing appointment in a department, comparison is made among several departmental candidates. The same process of comparison takes place among all candidates in the College in a given year who are being considered for renewal of term or continuing appointment.
  4. During his/her review, the Provost may ask for additional information, regarding a given candidate. Discussion of the department's candidates takes place between the department chair and the Provost before the latter makes his/her recommendations to the President. This step may involve one or several discussions between the department chair and the Provost. When the Provost is convinced that he/she has all of the pertinent, objective information regarding a candidate, he/she makes his/her recommendation to the President and includes with his/her recommendation all the papers, documents, and recommendations which have been submitted by the department chair and the department committee.
  5. When these materials and recommendations are completed, the faculty under review receives a letter from the Provost stating that the complete record is available for review by the individual. The faculty has five days to review the material and make any response he/she wishes. At the end of the five days, the President begins his/her review.
  6. If the faculty is being reviewed for continuing appointment, the College-wide personnel committee reviews the material submitted by the faculty member and the recommendations of the department chair and department committee. The Faculty Personnel Committee submits its recommendation directly to the Provost and the President.
  7. Before making his/her decision, the President reviews all of a candidate's papers and, if need be, asks for information from the Provost and the department chair. When the President is satisfied that he/she possesses the information he/she requires, he/she conveys his/her decision to the Provost, who informs the department chair of the decision before a letter is sent to the faculty member in questions. Should information become available in this decision, the Provost will return the matter to the President. This information must be substantially different, e.g. completion of the doctorate or publication of a book, than that which has already been submitted.
  8. The President's letter containing his/her decision is sent to the candidate with a copy to the department chair.
- f. External Evaluations of Candidates (an optional procedure)

When a faculty member of an institution is being considered for a term or continuing appointment, external evaluation of the professional work (publications, written research in progress, art works, musical compositions) of the candidate may be sought by any of

the parties to the process. This procedure is normal and customary in the academy and in many institutions is a mandated part of the process of review.

This information can be particularly useful to all parties to this process when two of the Trustees' criteria – scholarly ability and continuing growth – are considered.

External Evaluation initiated by the candidate

The candidate shall be informed by the department chair or Dean that he/she may have placed in his/her personnel file external evaluations of his/her published work by persons known to him/her who are professionally competent to offer an informal judgment in these matters.

The following procedures must be followed by all parties to this review process other than the candidate:

1. Any of the parties engaged in the review process (a department committee, a department chair, the Faculty Personnel Committee, the Provost, or the President) may obtain the advice of impartial professional persons in the field of the candidate's competence.
2. Before any of the parties to the review process take action to seek a written external review, the candidate should be informed in writing that this action is to be taken.
3. The candidate will be asked to sign the following brief statement and return it to the Office of the Provost.

I have been informed that \_\_\_\_\_ (one of the parties to this process listed in item 5) has requested an external review of my published work. It is my understanding that the information supplied by the external reviewer will be restricted to the department chair, the Faculty Personnel Committee, the Provost and the President.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

4. These external evaluations that identify the evaluator are confidential documents which may only be read by the appropriate department committee, the department chair, the Provost and the President.
5. At the conclusion of this process these external evaluations will be released to the candidate only if the external reviewer has authorized release of the evaluation to the faculty member. This information can be useful to the candidate in assessing the value of his/her academic research or creative endeavors.

6. The normal scale of payment to external evaluators in the range of \$50 to \$75 when such an evaluation is requested by the parties engaged in the review process, i.e., a department committee, etc. When such a request originates at the department level, it is a charge against a department's budget; at all other levels of review it is a charge against the budget of the Office of the Provost.

f. Special Problems

This process is rightfully and, of necessity, time-consuming. This means that some decisions, especially continuing appointments appear to be delayed. In pursuing these categories of action, the attempt is made to settle term appointments first, and then to proceed to decisions on continuing appointment. This process is moving forward simultaneously in varying degrees of completion for these categories throughout the Spring term.

Frequently term renewal and continuing appointment decisions are not completed by the end of the Spring term and continue to be reviewed during the summer. Any faculty under review who intends to be absent from the home residence during the summer should submit to the Provost a mailing address for the period of his/her absence.

## **XVII. Teaching Faculty Promotions**

Consideration for promotion may be initiated by the individual faculty, the department chair, or the department committee. Any faculty member who wishes to be considered for promotion shall prepare material for review by the department chair and the department committee.

The relevant information that should be presented for consideration by the department chair and the department committee shall include a current vita, copies of published articles or books, and any other information, such as student evaluations or copies of course syllabi, and other teaching materials.

If the request is initiated by the individual faculty, the department committee and the department chair will forward a recommendation to the Provost only if the decision is to recommend promotion of the individual faculty under review. Neither the department committee nor the department chair are required to submit a recommendation if the decision is not to recommend a promotion at this time. The department chair must, however, notify in writing any individual faculty if his/her request for promotion is not recommended by the department committee. A copy of the written notification to the individual faculty must also be sent to the Provost.

If an individual faculty is not recommended for promotion by either the department committee or the department chair, he/she may submit a request for review by the Faculty Personnel Committee. This procedure requires that the individual faculty submit to the Provost a request that he/she be considered for promotion. The Provost forwards the submitted material to the Faculty Personnel Committee for its consideration. The Faculty

Personnel Committee makes its recommendation to the President. The Provost also evaluates the material submitted for promotion and advises the President regarding his/her recommendation.

After consideration of the recommendations that may have been submitted for promotion, i.e. department committee, department chair, the Faculty Personnel Committee, and the Provost, the President reviews the material submitted by the faculty member under consideration and makes his/her decision. If the President decides to grant a promotion, the individual faculty is notified directly by the President. If the President does not wish to promote an individual faculty at this time, he/she informs the Provost who then notifies the department chair and the individual faculty of the President's decision.

*extracted from*  
**United University Professions 1999-2003 Agreement**

**Article 30**  
Appointment, Evaluation and Promotion

30.2 Evaluation and Promotion

a. Evaluation and promotion of employees shall be made in accordance with Article XII of the Policies.

**Article 31**

**Personnel Files**

31.1

a. Each College shall maintain, for official University purposes, an official personnel file for each employee who is subject to this Agreement. Such file shall contain copies of personnel transactions, official correspondence with the employee and formal, written evaluation reports prepared in accordance with provisions of Article XII, Title A, Section 3 and Article XII, Title C, Section 4 of the Policies and such other written evaluations and/or recommendations as may be prepared by an immediate supervisor, Department Chairperson, Dean, Vice President, or other persons serving in a supervisory capacity in a direct line, as appropriate, in connection with matters of appointment, evaluation, reappointment or promotion. With respect to the latter written evaluations and/or recommendations, those which pertain to reappointment shall be sent to the employee at the time they are prepared. All materials referred to in this Section shall be available to an employee for review and response. In no event shall statements which are both unsolicited and unsigned be placed in the official personnel file.

b. Upon receipt of the "other written evaluation and/or recommendations" referred to in subdivision (a) which pertain to reappointment, an employee who has completed three or more consecutive years of service in a position of academic or qualified academic rank or in a professional title, shall upon written request, be entitled to a meeting with the person who prepared a written evaluation and/or recommendation described in this subdivision to discuss the basis for such written evaluation and/or recommendation. The employee shall not be entitled to representation during such meeting. No part of the discussion held pursuant to provisions of this subdivision shall be subject to review in the grievance procedure. However, an employee may respond to information obtained during such discussion and may place in the employee's official personnel file or evaluative file any such response which is in writing.

31.6 a. Where, in connection with consideration of an academic employee for appointment, reappointment, or promotion, a file of evaluative material is developed by a committee or committees of academic employees which may exist to evaluate and make recommendations with respect to appointment, reappointment, or promotion of an academic employee, and where such file is submitted to the College President or the last management administrative officer of the College for consideration, the academic employee to whom the file pertains shall have the right to examine such file and file a statement in response to any item contained therein; provided, however, statements solicited in connection with the employee's appointment, reappointment, or promotion and any documents which would identify the source of the statements, shall not be available to the employee.

c. Examination of the file and response to material contained therein to which the employee has access pursuant to this Section shall take place after the file has been submitted to the College President or the last management administrative officer of the College but prior to this officers' consideration of its content. The College President or this management administrative officer of the College, or designee, shall notify the employee when the file is available for examination. The employee may then arrange with the College President or this management administrative officer of the College, or designee, to examine the file.

**Note:** *The above selected excerpts are those which relate closely to the processes described in the Geneseo Policies and Procedures Manual. Candidates are strongly advised to consult the 1999-2003 NYS/UUP Agreement, Articles 30, 31, 32, & 33 in their entirety*