Faculty Handbook 2021–2022

SUNY EMPIRE
STATE COLLEGE

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PART I. INTRODUCTION

This handbook presents the faculty personnel policies and procedures of SUNY Empire State College, as well as resource information of particular interest to faculty (referred to in the collective bargaining agreement as "academic employees"). The primary audience is the individual mentor who is learning about the college, preparing for a personnel review, or seeking a professional development opportunity. The handbook also is an essential guide for faculty serving on personnel review committees or serving as advisors to colleagues, as well as for college administrators.

The handbook is intended to provide an accessible treatment of important information. Much of the material is based on other more formal or technical material (e.g., SUNY Policies). In general, the handbook refers the reader to original sources or specific offices or websites for technical information or further details, rather than duplicating such resources. The reader is strongly advised to consult such sources directly.

This introduction describes the larger organizational context for the policies, procedures and resource information contained in the handbook.

The State University of New York (SUNY), established in 1949, is the largest centrally-managed, multilevel system of public higher education in the nation. SUNY's 64 institutions include four university centers; four medical centers (two of which — the health sciences centers at Buffalo and Stony Brook — operate under the administration of their respective university centers); 13 colleges of arts and sciences including SUNY Empire; five specialized colleges; five colleges of technology; five statutory colleges administered in cooperation with Cornell and Alfred universities, and 30 locally-sponsored community colleges.

SUNY Empire was founded in 1971 to create new educational alternatives for the people of New York. In 1974, it was the first public, nontraditional institution of higher education to receive regional accreditation. In 2010, the Middle States Commission on Higher Education reaffirmed SUNY Empire's accreditation for 10 years. The college offers associate, bachelor's, master's degrees, and in fall 2021 started enrolling students into its first doctoral program.

The college enables highly motivated adult learners to complete rigorous studies and earn degrees through a unique combination of academic features and resources. These include an onsite presence at locations across the state of New York; individual plans of study; student-centered, mentored study in a variety of teaching and learning modes, from guided independent study to online courses; and advanced standing credit for college-level learning.

A. COLLEGE ORGANIZATION AND ADMINISTRATION

The Regents of the University of the State of New York

The University of the State of New York (as distinct from the State University of New York) is the organization that supervises New York's entire system of elementary, secondary and higher education. The Board of Regents, elected by the Legislature, governs the University of the State of New York. The chief executive officer is the commissioner of education, appointed by the Regents. The commissioner is responsible for the State Education Department, which oversees all public and private educational practices in the state of New York. All degrees offered by SUNY Empire must be registered by the New York State Education Department.

The Board of Trustees of the State University of New York

The State University of New York is governed by a board of trustees, which is appointed by the governor. The governor also designates the chairperson and vice chairperson of the board. The trustees appoint the chancellor, the chief executive officer of SUNY. The Policies of the Board of Trustees (usually referred to as the SUNY Policies) is the basic document that details SUNY's organization, governance, policies and procedures. Copies are available from the SUNY Empire Office of Human Resources and on the SUNY website.

SUNY Empire State College

SUNY Empire is responsible to the SUNY Board of Trustees. The board's authority is vested in the college's president through SUNY.

The **SUNY Empire State College Council,** appointed by the governor, acts as an advisory board to the president and chancellor. The council has particular responsibility for conducting presidential searches.

SUNY Empire is a single, statewide institution. Appendix 6 shows the college's geographic organization and Appendix 7 shows the college's administrative organization.

Many administrative offices and the various services under their supervision are housed at the college's offices in Saratoga Springs, including Office of the President, Office of Academic Affairs, Office of Administration, Information Technology Services, Office of Enrollment Management, and Office of Advancement. The college administers and coordinates a statewide network of 20 locations. Faculty are affiliated with at least one of four areas: School for Undergraduate Studies, School for Graduate Studies, Harry Van Arsdale Jr. School of Labor Studies, and School of Nursing and Allied Health, each of which delivers the college's academic programs and services to SUNY Empire students.

Each undergraduate faculty is affiliated with at least one department, which is connected to one of five schools (Business, Human Services, Arts and Humanities, Science, Mathematics and Technology, and Social and Behavioral Sciences). For faculty in the School for Undergraduate Studies, affiliation serves two purposes; (1) To identify a primary supervisor and (2) so that deans learn the areas of teaching expertise for faculty. Affiliation does not limit the areas in which a faculty member can teach, as long as the individual has expertise in the teaching areas. Full-time faculty, and faculty on partial lines, are supervised by the appropriate dean.

The Department of Operations is responsible for the operations of all locations throughout the state of New York and is led by the chief operating officer. The Department of Operations has a network of regional contacts who can answer questions about operations in any location.

The officers of the college include the president or officer in charge, the provost and executive vice president for academic affairs, the assistant vice president for administration, chief financial officer and chief operating officer, assistant vice president for communications, marketing, and government relations, and chief of staff. The Cabinet is made up of the officers plus the associate vice president for enrollment management, vice provost for academic affairs, vice provost for student success, the chief diversity officer, the assistant vice president of human resources, the assistant vice president for advancement, and the chief information officer. The Cabinet meets regularly to address institutional planning, academic, fiscal, personnel, facilities, technology, enrollment, student and alumni/ae affairs, college development and external relations issues in consultation with appropriate groups and individuals.

The deans and associate deans also meet regularly with the provost and others to discuss issues of common concern.

Appendix 8 lists the members of the Cabinet.

B. COLLEGE GOVERNANCE

The college's governance organization, as provided by the SUNY Policies, came into being with the adoption and approval of the SUNY Empire State College Bylaws in 1973 and has evolved over the years. The college Bylaws are posted on the SUNY Empire governance website (www.esc.edu/governance) and also are available from the Office of Academic Affairs. The provost is the administrative liaison to college governance. Each standing committee has a designated administrative liaison, as does the Senate.

The Bylaws call for a college Senate and a number of standing committees. The standing committees are the Academic Personnel Committee (APC), Committee for Undergraduate Programs (CUP), Graduate Studies and Policies Committee (GSPC), Integrated Technology Committee (ITC), Professional Personnel Committee (PPC), Governance Operations and Review Committee (GORC), Support Staff Committee (SSC), Teaching and Mentoring Faculty Committee (TMFC), and the Undergraduate Committee for Academic Policy (UCAP). In addition, the Program, Planning and Budget Committee (PPBC) advises the president on college planning and budget matters.

Standing committees are committees of the college Senate. Committees make recommendations to the Senate, which approves, modifies, or disapproves their recommendations and forwards the result to the president. The college Assembly meets once a year at the All College Conference. At a plenary session of the Assembly, the voting membership receives the annual reports of the president, State University faculty senator, college Senate, standing committees and Faculty and Professional Conferences, and acts upon proposals and amendments to the Bylaws.

The Faculty Conference is made up of all teaching members of the college Assembly, excluding professional and management/confidential employees. The Faculty Conference discusses items of interest to the faculty and may make recommendations to the college Assembly. The Professional Conference and Support Staff Conference play a similar role on behalf of professional and support staff employees.

Academic governance units may adopt local Bylaws, subject to the approval of the president or designee.

C. SUNY EMPIRE STATE COLLEGE FOUNDATION

The SUNY Empire State College Foundation is a private, not-for-profit corporation established under the laws of the State of New York for the sole purposes of accepting and encouraging gifts on behalf of SUNY Empire, and of managing and expending these gifts to advance the development of the college.

Below are the mission and values statements of the SUNY Empire State College Foundation, adopted in October 2002.

Mission

The SUNY Empire State College Foundation promotes the quality and visibility of the college. It raises funds to enhance student aid, faculty excellence, and facilities and infrastructure. It promotes innovation, new program development and outreach. The foundation invests and responsibly manages funds to assure the ethical stewardship of gifts. By encouraging philanthropy and stewardship, the foundation supports the future growth of the college in becoming an international model of adult learning.

Values

The SUNY Empire State College Foundation Board of Directors values:

1. The transforming impact of SUNY Empire;
2. The difference that well-informed and connected volunteers can make as advocates for the college; and
3. The power of philanthropy to promote excellence in learning and teaching.

The foundation's board of directors comprises the college president, the executive vice president for administration, individuals selected from members of the college faculty and staff, the College Council, and alumni and friends of the college. The vice president for advancement also sits on the board and serves as the executive director of the foundation.

Thanks to the institution's generous donors, the SUNY Empire State College Foundation supports a variety of initiatives across the college, touching the lives of students, faculty and the community through dozens of programs each year. Supported by our fundraising activities and investment income derived from endowment, in Fiscal Year 2016 the foundation provided more than $1.6 million to benefit students directly, implement collegewide initiatives, and assist with faculty and staff development. Of that total, approximately $860,000 was direct financial aid support for students. In addition, the foundation provides more than $1 million annually in no-interest, financial aid anticipation loans to students.

The foundation funds many of the professional development programs and services described in Part V. Examples include the Scholars Across the College program; external speakers at college meetings; the Altes, Hall and Turben awards; and the SUNY Empire State College Excellence and longevity awards. Funding also is provided for diversity initiatives and the Fall Academic Conference, the Student Academic Conference and the All College Conference.

D. COLLECTIVE BARGAINING

The New York State Public Employees Fair Employment Act and NYS Civil Service Law mandate that public employees have the right to bargain collectively with their employers. The Public Employment Relations Board (PERB) established the Professional Services Negotiating Unit (PSNU) for all academic and professional employees. Through procedures established by PERB, the collective bargaining unit elected the NYS United University Professions (UUP) as the bargaining agent. Copies of the Agreement between the State of New York and the UUP are distributed by UUP and also may be obtained from SUNY Empire's Office of Human Resources.

E. POLICY CONTEXT FOR THIS HANDBOOK

SUNY Empire's faculty personnel policies must be consistent with the Policies of the Board of Trustees of SUNY. In the event that the provisions of SUNY Empire and SUNY Policies differ in substance, the provisions of the SUNY Policies are controlling.

The collective bargaining Agreement Between the State of New York and the UUP also is relevant. According to the Policies of the Board of Trustees, in the event that the provisions of the UUP Agreement are different from the provisions of the SUNY Trustees' Policies, the provisions of the Agreement are controlling.

Within SUNY Empire, school procedures must be consistent with college policies and procedures. In the event that local and college-level procedures and policies differ in substance, college-level policies and procedures are controlling.

Policies and procedures for faculty reappointment, continuing appointment and promotion reviews fall under the heading of "terms and conditions of employment" and are therefore subject to labor-management negotiations. Such policies and procedures are found in Parts IV and VI of this handbook. Part IV also provides information on amendment procedures for those sections of the handbook.

The Office of Academic Affairs is responsible for the remainder of the information in the Faculty Handbook, in consultation with college administrators, governance bodies, SUNY System and others, as appropriate.

PART II. GENERAL POLICIES AND PROCEDURES

T hroughout this handbook, the term "associate dean/dean" refers to the school administrator who is responsible for direct faculty supervision and review.

A. TYPES OF EMPLOYEES

Definitions of terms relating to professional titles and organization are provided in Article II of the SUNY Policies and in Article 4 of the UUP Agreement.

In these documents, the term "professional staff" refers to academic and professional employees who serve in administrative and/or teaching roles and are members of the Unclassified Service. "Academic employee" refers to employees in the Professional Services Negotiating Unit with academic rank or qualified academic rank. "Professional employee" refers to employees in the Professional Services Negotiating Unit, other than those with academic or qualified academic rank.

This handbook provides information of primary interest to "academic employees." The more everyday terms "faculty member" or "the faculty" are generally used in this handbook to refer to this group.

Management/Confidential (M/C) employees are not represented by a negotiating unit.

Employees of the SUNY Empire State College Foundation are not represented by a negotiating unit.

B. INITIAL APPOINTMENT

Only the president or designee may make an offer of appointment, appoint an employee, or change an employee's appointment. The terms and conditions of an appointment are stated in the appointment letter, in accordance with Article XI of the Board of Trustees Policies.

A full and open search is conducted prior to filling vacant and new full-time positions unless such search is waived in accordance with the college's Affirmative Action Policy. The Affirmative Action Policy is posted on the SUNY Empire Affirmative Action website. Search procedures are included in the SUNY Empire Policies and Procedures, which is posted on the college website. Copies of these documents also may be obtained from the Office of Human Resources or from the Office of Human Resources website.

C. END OF APPOINTMENT

Retirement

State law defines the availability of a retirement system. Procedures governing retirement are outlined in Article XV of the SUNY Policies. Individual retirement benefits are determined by the system in which one participates. Contact the Office of Human Resources for more information.

Termination

Procedures governing termination of service conform to those outlined in Article XIV of the SUNY Policies and Articles 30 and 32 of the UUP Agreement.

Resignation

The UUP Agreement provides for faculty to give 30 days notice to the president or president's designee. Ideally, a faculty member submits a letter of resignation to her/his supervisor with sufficient notice to allow for an orderly transition for students and for their other responsibilities, consistent with the nature of faculty roles.

Responsibilities Prior to Departure

A faculty member who is leaving the college for any reason has a responsibility to bring work with students to closure and to facilitate their transition to working with other faculty. It is most appropriate to follow the procedures in Part V, Section G, Preparing for a Leave.

Any departing faculty member should consult her/his supervisor and contact the Office of Human Resources to complete separation from service procedures.

D. COLLEGE CALENDAR

The annual college calendar is published in the SUNY Empire State College Undergraduate Catalog and on the college website.

Hours of Operation, Leave Accruals, and Holidays

The college's offices in Saratoga Springs are normally open from 8:30 a.m. to 5 p.m. weekdays, subject to such modifications as are required. Locations and programs extend hours (e.g., evenings, weekends) to meet the needs of the college's adult student body. Faculty establish schedules, in consultation with the associate dean/dean, that enable them to serve the college's adult student audience and to fulfill professional obligations, consistent with Sections D and F.

With the exception of legal holidays, SUNY Empire is open year round.

The faculty term of obligation extends over a calendar-year period. Section F further describes faculty obligations.

Both full- and part-time faculty accrue leave for each month of service in accordance with the SUNY Policies and the current UUP Agreement.

Faculty submit requests for vacation and professional leave to their associate dean/dean in advance. The associate dean/dean approves such requests as the president's designee.

A professional leave request may be appropriate when the faculty member wishes to pursue scholarly or other interests directly related to her/his position and when the leave is relatively brief (i.e., to attend a one-week institute). Normally, requests for longer professional leaves are appropriately the focus of a professional reassignment or sabbatical leave. See Part V for information on such opportunities.

A faculty member requesting a leave submits the request in writing to the associate dean/dean, who makes a recommendation to the provost. The provost approves or denies the request after consulting the president. (In accordance with Article XIII, Title F, of the Policies of the SUNY Board of Trustees.)

All faculty, whether full or part time, must certify their presence and record any absence by submitting an attendance record each month. The faculty member submits the attendance record to the associate dean/dean for approval within one week after the end of the month. The associate dean/dean forwards approved attendance records to the Office of Human Resources.

Faculty Reading/No Appointment Periods

A faculty reading or no appointment period, usually scheduled from mid-July into the month of August, is a period of shifted professional responsibility rather than a vacation period. Faculty use this period to further their own professional development, to complete documentation of student work and to engage in service and scholarly activities. (In accordance with Article XIII, Title F, of the Policies of the SUNY Board of Trustees.)

There is an additional "no appointment" period scheduled from mid-December to early January. This also is a period of shifted professional responsibility rather than a vacation period. Faculty use these periods to further their own professional development, to complete documentation of student work and to engage in service and scholarly activities. Faculty observe no appointment periods in accordance with the institutional calendar, unless an exception is approved in advance by the associate dean/dean (e.g., to accommodate the needs of the local setting, shared assignments of the faculty member, or a special professional development opportunity).

During the reading/no appointment periods, faculty do not schedule appointments with or provide direct services to students. They do perform other elements of their professional obligations.

As is always the case, a request for vacation leave during these periods must be approved in advance by the supervisor. Employment elsewhere during these periods is subject to the same policies as apply throughout the rest of the year.

SUNY Empire State College Policies, Procedures and Letters of Understanding
Approved: April 28, 1975
Revised: February 1996; May 2003

E. SALARY AND BENEFITS

Salary

Salaries reflect a 12-month professional obligation for SUNY Empire faculty members, unless otherwise noted in the faculty member's appointment letter. Adjustments to individual salaries occur in several ways. Salary adjustments occur as a result of collective bargaining between the State of New York and United University Professions, on an across-the-board and/or discretionary basis. Additionally, the college may provide salary increases for promotions and other purposes.

Benefits

The Office of Human Resources provides all benefits information and benefit vendor contracts to SUNY Empire employees. Since benefits may vary from person to person and may change over time, individuals should contact the Office of Human Resources for specific information on their own situations.

F. FACULTY OBLIGATION

The faculty obligation is further described below. The college submitted statements on "faculty utilization" and "faculty responsibilities" to SUNY System Administration in March 1996, in response to the SUNY faculty utilization initiative and after consultation with SUNY Empire governance bodies and others. The SUNY System Administration office approved the original statements, which have been amended by the college.

SUNY Empire State College Policy on Faculty Utilization

SUNY Empire, like other institutions of higher education, recognizes the multiplicity of expectations for faculty members in a comprehensive college with a graduate program. While the college is adult centered and innovative, places a strong and special emphasis on teaching and learning for nontraditional students, and offers the individualized academic delivery which is a central institutional strategy, there also is an expectation that full-time faculty members demonstrate continuing professional growth through contributions to their disciplines and/or to the theory and practice of adult learning through scholarship, creative endeavors, organizational participation and other developmental activities. The faculty members are active locally as well, serving with voluntary organizations, as arts advocates, as school board members and the like. Such involvements bring the college to the communities where its adult students serve as well. Intra-college activities are particularly important in an institution with locations across the state. Collegewide governance bodies and committees are the generators of much of the forward movement of the institution.

Because the role of the mentor closely connects the relationships among teaching, research and service, a description of normal responsibilities in these areas is somewhat difficult. While all faculty are expected to undertake, and be evaluated on, the activities and roles described by the SUNY Board of Trustees (Policies of the Board of Trustees, Article XII Title A) the nature of these roles at SUNY Empire differs markedly from that at most other institutions. (See Part III, Section D for information on how the SUNY personnel review criteria apply at SUNY Empire.)

The faculty utilization plan calls for an annual faculty report which is completed by each full-time faculty member and reviewed by their associate dean/dean or other appropriate academic administrator. The annual report describes the nature and extent of primary mentoring, degree program planning, study groups, governance activities, faculty development, etc. In these reports, faculty members also address plans for the subsequent year, with undertakings in these various responsibilities established in consultation with their associate dean/dean so as to ensure that enrollment expectations are met, that location and college service needs are accomplished, and that students are able to gain a high-quality education. These academic reports and plans are individually reviewed with the goals of establishing equity of work and opportunities for development.

SUNY Empire State College Faculty Responsibilities

Faculty at SUNY Empire have, as their principal responsibility, direct educational interaction with students. Throughout the college, faculty work with students in a variety of synchronous and asynchronous modes, including scheduled meetings with individual students, group study, classroom based instruction, blended learning opportunities, online courses and in collaborative learning communities. While faculty undertake professional development activities and service in accord with SUNY Board of Trustees policy, the general expectation is that full-time faculty members will be present in their location for amounts of time sufficient to serve student needs well and to fulfill all other faculty responsibilities. In light of this, the college defines the usual full-time faculty obligation as the equivalent of four days each week, with the fifth available for additional student work or for the other roles and tasks which comprise full-time professional responsibilities (e.g., reading, research, creative or professional activities, reflection, preparation for committee assignments, involvement in community or professional organizations). Given existing variations in the college's programs, variations in that model are possible. For example, a faculty member teaching an online course can carry out

some of this responsibility from any physical location. A faculty member working on a scholarly project might do so at home, in the library, or elsewhere. A faculty member serving on a governance committee may be meeting at a different college location. However, given the college's focus on quality mentoring and teaching, as well as equity considerations among faculty, faculty members must devote substantial amounts of time to the SUNY Empire faculty role; the four-days-per-week model provides a college standard for comparison and guidance in that regard.

According to SUNY Empire policy, the mentor counsels and advises; helps students design individual degree programs and learning; prepares academic documents; provides appropriate instruction; manages, develops and links students to appropriate instructional resources; and assesses and evaluates student academic performance. In addition, of course, faculty participate in service to the community and the college and in development activities. Faculty are involved in institution-wide academic undertakings such as online learning, International Education and School for Graduate Studies.

SUNY Empire enrollment targets are established at levels that will support the overall college target. Direct instruction and mentoring targets are based on the full allocation of faculty resources. Based on consultation about work expectation and practices, and annual planning, targets are assigned individually. In lieu of direct instruction and mentoring targets, faculty may be assigned other tasks associated with SUNY Empire mentoring. In some cases, it may be appropriate to emphasize direct teaching assignments or mentoring for those who are less involved in other college activities.

Each full-time faculty member prepares for their associate dean/dean or other local academic administrator an annual report of activities consistent with these expectations, and, in consultation with this academic administrator, identifies any planned modification of activities for the following year. While such documents are intended to aid in the establishment of a fair allocation of academic responsibilities, the annual reports may be used as supporting documentation for personnel recommendations and/or in the developmental reviews of tenured faculty undertaken every three years.

Assessment of faculty utilization is an ongoing process as is the continuing effort to achieve work equity and appropriate opportunities for faculty development.
Approved: March 1996
Revised: May 2017

Faculty Utilization Plan

Under a mandate from the SUNY provost's office, all full-time faculty prepare a Faculty Utilization Plan, or an annual report of activities over the past year and plans for the upcoming year.

The Annual Report and Plan serves as the Faculty Utilization Plan at SUNY Empire. See Part IV, Section D for a fuller discussion. The form is available online and in Appendix 2. The faculty member submits the form to their associate dean/dean for review and the associate dean/dean retains it.

Workload Consultation

The Annual Report and Plan reflects individual professional responsibilities and plans. In addition to such individual reports and consultation, each school has developed, an on-going procedure for consultation among the associate dean/dean and the academic and professional employees regarding the overall distribution and allocation of resources and professional obligations within the school. Consultation procedures are approved by the provost, who provides copies to the SUNY Empire UUP chapter.

G. PROFESSIONAL EXPECTATIONS

Professional Ethics

The NYS Code of Ethics applies to all professional staff and prohibits involvement in any activity that is in, or gives the appearance of, substantial conflict with the proper discharge of duties in the public interest. Any potential conflict of interest interfering with full performance of professional obligations to the University may be subject to University review as well as review by other NYS entities. In addition to any penalty contained in any other provision of the law, anyone who knowingly and intentionally violates these provisions may be fined, suspended, or removed from office or employment in the manner provided by law. See the NYS Public Officers Law, a copy of which is available from the Office of Human Resources.

The college is required by law to obtain and file a signed oath of office for each state employee. Faculty whose annual salary is at or above a specified level (subject to change) are required to file an annual financial disclosure statement in accordance with the rules of the State Ethics Commission.

The Federal Drug-Free Workplace Act of 1988 informs employees of consequences if they are involved in the unlawful use, possession, manufacture, dispensation, or distribution of controlled substances in the workplace. The NYS Drug and Alcohol in the Workplace Act also is relevant. Additional information concerning these policies is available from the Office of Human Resources.

The NYS Public Officers Law contains provisions regarding the defense and indemnification of state officers and employees.

The college's Computer Use Statement — Faculty and Staff is published on the SUNY Empire policy website.

All faculty and other employees are responsible for protecting the confidentiality of student information in accordance with the Federal Educational Rights and Privacy Act (FERPA) and other relevant regulations. See the college website for the college's Adherence to Family Educational Rights and Privacy Act of 1974 Policy.

Intellectual Property

Appendix A-23 of the UUP Agreement contains the agreement regarding intellectual property. (Article XI, Title J of the SUNY Board of Trustees Policies does apply.)

Policies governing patents, inventions and copyrights are outlined in Article XI, Title J, of the SUNY Policies.

In addition, the SUNY Computer Software Policy is available on the SUNY web site.

Academic Freedom

The policy concerning academic freedom is outlined in Article XI, Title I of the SUNY Policies and in Article 9 of the Agreement between United University Professionals and the State of New York.

H. AFFIRMATIVE ACTION

SUNY Empire's Affirmative Action Policy and search procedures appear on the SUNY Empire website on the Policies, Procedures and Guidelines page and on the Human Resources, Polices and Procedures web page. The college's affirmative action officer is responsible for the effective implementation of the Affirmative Action Policy and ensures that the college adheres to state and federal requirements.

The Office of Human Resources and the affirmative action officer monitor and support searches to fill faculty positions.

In accordance with the goals expressed in its Affirmative Action Policy, SUNY Empire adheres to the letter and the spirit of affirmative action. Any inquiries with regard to possible noncompliance or discrimination should be directed to the affirmative action officer.

I. AUTHORIZED TRAVEL

Travel in connection with college duties is subject to regulations applicable to all state employees. The college's Finance Office is responsible for administering these regulations. An employee must complete a Finance Travel Pre-Approval Form, submit to the finance office, and receive approval from the chief financial officer (and chief of staff if $1,000 or more) before undertaking any travel for which he/she expects to be reimbursed.

Travel regulations and procedures are modified on the basis of current budget situations. Current information is available from the Finance Office. Prior to making a commitment for a trip, employees should bring themselves up-to-date on current travel restrictions, if any.

Mode of travel should be determined in relation to efficiency, expense, and liability factors. If a private car is used for professional travel, the rental vs. personal vehicle calculator must be used for 100 miles or more. The calculator determines the most economical vehicle to use. Mileage reimbursement for private car at the regular state per mile allowance is provided, regardless of the number of people sharing the car.

Employees complete travel expense vouchers, obtain their supervisor's signature, and submit them with receipts to the procurement office within 30 days of travel, regardless of source of payment. SUNY employees may receive an advance for travel while on official business (the travel form must be approved prior to submit the travel advance request). Specific policies and procedures relating to travel advances are available from the Finance Office.

The college may support travel for conference participation and other professional development activities. (See Part V, Professional Development.)

PART III. FULL-TIME FACULTY PERSONNEL POLICIES

A. ACADEMIC RANK, QUALIFIED ACADEMIC RANK, AND CONCURRENT ACADEMIC RANK

Individuals who hold "academic rank" have the title of professor, associate professor, assistant professor, or instructor. Individuals with the titles of librarian, associate librarian, senior assistant librarian, or assistant librarian also hold academic rank. Full-time employees in these academic titles accrue service credit toward consideration for continuing appointment (tenure).

Individuals who hold "qualified academic rank" (QAR) have the title of lecturer or a title preceded by "visiting" or another similar designation.

Service in qualified academic rank does not count as service credit toward continuing appointment.

Part-time mentors hold qualified academic rank appropriate to their qualifications. Periods of employment in part-time service do not count as service credit toward continuing appointment.

Appointment to Academic Rank

Expected qualifications for an initial "tenure-track" appointment are defined below for each rank. In rare cases, the college may wish to appoint persons whose education, experience and professional achievements require a different basis for judgment; these guidelines are not meant to preclude such appointments nor to discourage such applicants. In such cases, alternative qualifications that reflect comparable competence, knowledge, excellence and achievement may be recognized for appointment at a particular level.

Instructor. Highly promising appointees at the entry level who have a relevant master's degree that the college does not define as a terminal degree and who are nearing completion of a doctoral-level terminal degree. In most cases, the college places a person who does not already hold the relevant terminal degree on a "qualified academic rank" appointment, rather than on a tenure-track appointment in academic rank.

Assistant professor. Appointees who hold an appropriate terminal degree. In a very few disciplines or academic fields, the provost may define the appropriate terminal degree as other than a doctorate. In this case, the appointment letter specifies that the college defines the faculty member's degree credentials as equivalent to a terminal degree.

Associate professor. Appointees who hold an appropriate terminal degree and who have demonstrated substantial previous teaching effectiveness, high competence in a subject area or discipline, and high potential to succeed in the mentor role at SUNY Empire. The college normally expects an appointee to have at least five years of successful, full-time instructional experience at an accredited institution of higher education as an assistant professor or its international equivalent; evidence of high teaching competence; and evidence of academic excellence as judged by professional peers.

Professor. The college does not normally make an initial appointment at the academic rank of professor. However, such an appointment may be made in unusual cases, if a candidate has at least five years of full-time experience at the associate professor rank and a sustained record of exceptional professional standing, leadership and teaching effectiveness.

Appointment to Qualified Academic Rank

The college normally makes an initial, full-time, qualified academic rank (QAR) appointment in one of the following circumstances:

- When the individual holds continuing appointment at another institution, or is on leave from another educational or noneducational institution and is serving SUNY Empire in a visiting appointment.
- When the individual is replacing a SUNY Empire faculty member who is on sabbatical or other leave, or on temporary reassignment within the college.
- When the assignment is in an experimental or short-term setting, or it is not possible for the college to determine whether there is a long-term need for the position.
- When the individual does not hold the terminal degree expected for a "tenure track" appointment and the college needs to make an interim appointment.

The college may make a subsequent QAR appointment if one of the above conditions continues to hold.

The college also may make an initial, full-time, qualified academic rank (QAR) appointment:

- When the position is expected to lead to consideration for continuing appointment and the initial appointment begins well into an academic cycle. In this case, the college sometimes makes an initial QAR appointment to June 30 to allow for appropriate sequencing of personnel reviews prior to continuing appointment review.
- When the college is required by the SUNY Policies to grant the maximum years of service credit to a new faculty member, and the resulting short "tenure track" is not in the best interests of the faculty member.

Movement from Academic to Qualified Academic Rank. By mutual agreement, an individual may move from academic to qualified academic rank when warranted by extraordinary professional or personal circumstances. At the written request of the individual, and with the recommendation of the associate dean/ dean and the provost and the approval of the president, QAR may be used to interrupt the eligible years of service towards continuing appointment (i.e., "stop the clock") for a specified period of time. For example, a period on QAR may enable a person who has faced exceptional barriers to complete a terminal degree, or may enable an individual to acquire experience in a new SUNY Empire work setting involving new responsibilities.

Unless there is good and sufficient reason for the use of qualified academic rank, full-time faculty accrue service credit toward a tenure decision.

Service in QAR does not count toward eligible years of service for continuing appointment (tenure) consideration.

Use of qualified academic rank, by itself, does not imply a presumption of nontenurability.

An individual on QAR may hold either a term or a temporary appointment.

A person on qualified academic rank is reviewed following the same procedures and calendar as for other members of the faculty who are candidates for reappointment. Persons who hold qualified academic rank may be promoted to higher ranks. Reappointment and promotion decisions for persons on QAR are based on the same criteria and considerations as for any other faculty review.

Part-time mentors hold qualified academic rank appropriate to their qualifications.

Concurrent Academic Rank

At the discretion of the provost and with the approval of the president, professional employees and M/C employees may hold concurrent academic rank appropriate to their academic qualifications and responsibilities.

State University of New York Distinguished Professor Ranks

The Distinguished Service Professorship and the Distinguished Teaching Professorship are prestigious, tenured university ranks that are conferred for consistently extraordinary accomplishment. Authority to appoint to either rank resides solely with the State University Board of Trustees and such appointment constitutes a promotion to the university's highest academic rank.

The Distinguished Service Professorship is conferred upon faculty who have achieved a distinguished reputation for service not only to the campus and the university, but also to the community, State of New York or nation, by sustained application of the candidate's scholarly and research interests to issues of public concern. Faculty in any of the disciplines or fields of study are eligible.

The Distinguished Teaching Professorship is conferred for outstanding teaching competence at the graduate, undergraduate or professional levels. Teaching mastery is to be consistently demonstrated over multiple years. The criteria for Distinguished Teaching Professors include both sustained teaching excellence and a substantial record of scholarly or creative accomplishments.

The Distinguished Service Professorship and the Distinguished Teaching Professorship are ranks above that of full professor.

For more information on criteria and nomination procedures contact the Office of Academic Affairs or see the SUNY website.

Emeritus Status

The college may confirm the title "emeritus" for tenured faculty members who retire from SUNY Empire. The president notifies the faculty member of emeritus status by letter at the time of retirement.

The college recognizes the significant educational and institutional contributions of its emeritus faculty. Funding limitations may preclude continuing use of, support by or access to college resources and facilities in conjunction with emeritus status. The college website contains information of interest to emeritus faculty. Persons with the dual status of "emeritus" and "employee" have access to the resources needed to fulfill their responsibilities as employees.

Retired Faculty

Retired SUNY Empire faculty possess a wealth of knowledge, mentoring skills, and historical insight acquired through many years of professional development and institutional service. In retirement, faculty members can be valuable assets to SUNY Empire as the college strives to sustain its distinctive mission and traditions and to enhance its educational programs and methods. Retired faculty may continue to contribute to the college as part-time mentors, study group leaders, evaluators of prior learning, facilitators of information sessions, consultants in the development of new faculty and programs, speakers at college-sponsored academic conferences, writers for college publications, and in a variety of paid or voluntary roles.

If a retired faculty member has an interest in some form of part-time employment with the college, then he/she initiates discussions with an associate dean/dean. The associate dean/dean analyzes the department's needs and the faculty member's background and expertise and makes a recommendation to the provost. The provost makes a recommendation to the president, who approves post-retirement appointments.

A post-retirement appointment must be consistent with any relevant provisions of NYS and SUNY Policies, the UUP Agreement and any other applicable regulations.

B. TYPES OF APPOINTMENT

Temporary Appointment

The college normally makes a temporary appointment when the position is expected to be short-term, as in when the employee in replacing someone who is on leave, or when the position is supported by grant funds. Temporary appointments may be terminated at any time, according to the SUNY Policies.

Term Appointment

Term appointments for academic employees are made under the SUNY Policies for a specific period of not more than three years. Initial term appointments are normally for two-year periods or slightly less in order to allow for phasing into the regular appointment year (July 1-June 30). However, the administration reserves the right to offer one-year term appointments on those occasions when this alternative seems to best meet the needs of the college.

Continuing Appointment

Continuing (tenured) appointments are appointments to an academic rank that shall continue until resignation, retirement or termination in accordance with the SUNY Policies. Only periods of full-time service in academic rank are counted as service credit toward continuing appointment consideration. Because continuing appointment represents a long-term commitment on the part of the institution to the individual, the college can only rarely and under exceptional circumstances recommend an initial appointment that is a continuing appointment.

The SUNY chancellor grants continuing appointment upon consideration of the president's recommendation.

Faculty who hold continuing appointment, and who subsequently request and obtain approval of a change from full-time to part-time status, retain their continuing appointment, on a part-time basis, in regular academic rank.

C. INITIAL APPOINTMENT

Search Procedures

The college fills vacant faculty positions according to the published Affirmative Action Plan and search procedures. After considering the recommendation of the search committee, the associate dean/dean makes a recommendation to the provost, who acts as the president's designee in approving employment offers. The provost interviews one or more finalists by phone or in person. Rank, salary and years of service credit (if applicable) are determined in consultation between the associate dean/dean and the provost, based on relevant criteria and comparable salaries in the college. The associate dean/dean negotiates the offer and submits necessary paperwork for the appointment.

A new full-time faculty member receives a letter of appointment signed by the president prior to the beginning date and prior to assuming the responsibilities of the position.

Qualifications for Tenure-track Appointments

Appointment to a tenure-track position is normally available only to persons who hold an appropriate terminal degree. If the college makes such an appointment with the expectation of completion of a terminal degree, the appointment letter specifies that expectation and includes the timeframe within which the degree must be completed. Subsequent administrative reviews note the expectation of the terminal degree and progress made toward the terminal degree.

Opportunities for Internal Transfer

The college normally fills full-time vacancies through a full search. However, when a full-time vacancy is available, it is possible for a full-time faculty member to transfer from one school to another. Consistent with principles for hiring new faculty, such transfers occur only with the concurrence of the provost, the associate dean/dean and the faculty of the receiving school. The faculty peer reviewers determine the form of their participation in the potential transfer. For example, they may delegate it to their local Initial Peer Review Committee (IPRC) or they may participate as a whole. However, local procedures must be decided before consideration of any identified case.

Factors influencing such transfers should include but are not limited to the needs of the receiving school (including area of study coverage, affirmative action considerations) and the skills and experience of the faculty member requesting transfer.

The associate dean/dean and the faculty member are encouraged to consider the possible impact of a transfer on the personnel review process.

The associate dean/dean and faculty peer reviewers may establish an appropriate interview procedure for any full-time faculty members who express interest and whom the school wishes to consider.

A faculty member who has a potential interest in transferring to another setting should make that interest known to the potential receiving associate dean/dean and/or the provost, even in advance of a specific vacancy becoming available. Individuals also should regularly view the Office of Human Resources website, where all vacancies are posted.

As soon as possible after the college makes annual budget and staffing allocations, the provost posts a summary of possible faculty vacancies that may be filled across the college during the year. Although subject to change, this summary is another means of identifying possible transfer opportunities.

An associate dean/dean who has a vacancy available may, in consultation with the faculty peer reviewers and the provost, decide to conduct a full search rather than to approve a direct transfer. In this case, any individual may be a candidate.

A vacancy created by a transfer is normally filled via a full search.

Internal Candidates in Searches

Recognizing the privacy preferences of some who are applying for positions as internal candidates, a member of the college faculty or staff may apply for a position without notifying her/his supervisor. Upon notification that he/she remains active in the search after the first screening, an internal candidate is expected to notify her/his supervisor. The associate dean/dean conducting the search ensures that this consultation occurs and, if necessary, initiates the contact.

D. GENERAL CRITERIA FOR FACULTY PERSONNEL REVIEWS

The SUNY Policies specify five general criteria for faculty evaluation. SUNY Empire uses these five criteria when making reappointment, continuing appointment, and promotion decisions and other personnel decisions where appropriate.

Additional considerations for continuing appointment and promotion are specified in subsequent sections.

The five SUNY criteria are interrelated and overlapping. There are activities and accomplishments that may satisfy more than one criterion. For example, teaching and learning materials might be relevant to both teaching effectiveness and scholarly ability. Nevertheless, the five areas are different categories and faculty should attend to each of them throughout their employment at SUNY Empire. All faculty personnel reviews will consider each of them.

Because of the college's primary role as a teaching/mentoring institution, strong evidence of teaching and mentoring effectiveness is a necessary pre-condition for any successful personnel review.

The following material presents each criterion in boldface type, directly quoted from the SUNY Policies, and then describes how SUNY Empire interprets the criterion. (The actual SUNY language for each criterion is in boldface type and set off with quotation marks.)

1. "Mastery of Subject Matter — as demonstrated by such things as advanced degrees, licenses, honors, awards and reputation in the subject matter field."

As noted elsewhere in these policies and procedures, SUNY Empire normally expects full-time faculty to hold the appropriate terminal degree and also makes provision for exceptions. Possession of the terminal degree (or alternative credentials in specific cases) is a necessary but not sufficient demonstration of mastery of subject matter. Over time, faculty are expected to maintain currency and demonstrate increasing depth and breadth in subject matter competence.

Faculty may demonstrate current mastery of the principal field(s) of knowledge through publications, artistic accomplishments, evaluative comments regarding professional work by colleagues of stature in the field, use of scholarly resources in mentoring, consultancies, etc. A wide range of competencies within a subject matter is valued; competence in ancillary fields is an important consideration. Interdisciplinary competency is a strength.

2. "Effectiveness in Teaching — as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses and student reaction, as determined from surveys, interviews and classroom observation."

The college defines "effectiveness in teaching" as encompassing the broad mentoring and teaching roles of SUNY Empire faculty. SUNY Empire defines "development of teaching materials or new courses" broadly, to include curriculum development and development of a range of learning resources, such as learning contracts, print or online courses, residency programs and teaching and learning materials for any learning format. Thus, teaching effectiveness is interpreted in terms of the variety of teaching and learning methods and responsibilities associated with the unique educational roles of SUNY Empire faculty. Effectiveness in teaching involves both a wider set of activities in direct or indirect instruction and integrally related advising and counseling work with and for students. The college recognizes that the interpretation of teaching effectiveness should be flexible and take into account the particular needs and teaching and learning modes of the range of settings in which SUNY Empire faculty work.

Specifically in respect to mentoring the following are important:

- The extent to which learning contracts, course outlines and materials and evidence of the degree program planning process are consistent with acceptable educational practices and college policies and procedures.
- The ability of the faculty member to counsel students in academic matters; concurrent evidence of ability to interact well with students.
- The extent to which formative assessment provide effective judgments concerning performance.
- The extent to which the faculty person provides useful diagnostic information and recommendations to students regarding development of their academic programs.
- The quality of student products and performances and the appropriateness of the mentor's responses to the student's work.
- The extent to which the guidance provided by the mentor, and the level, amount and complexity of the work required, meet general expectations for college-level work and recognize differences in students' independent learning skills and educational goals, modes of learning, and enrollment status.
- The extent to which the candidate draws upon an appropriate array of methods and resources in designing and evaluating learning contracts and/or other instructional strategies/modes (for example, tutorials, distance learning courses/tutorials, study groups, residency-based studies, tests, other academic employees, etc.). This will vary depending on the SUNY Empire setting(s) in which the mentor teaches and its associated teaching and learning models and resources.
- The quality and currency of curriculum and learning resources developed by the mentor.
- The ability of the mentor to recognize his or her own capabilities and limitations in deciding whether to directly supervise or arrange other resources for a learning experience.
- The mentor's availability to students and the time taken to return papers and other products and to submit finished copies of contracts, grades and other necessary records.
- General effectiveness as demonstrated, for example, by success in carrying out professional duties and responsibilities, efficiency, productivity, and relationships with colleagues.

3. "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."

Scholarly ability is an essential ingredient of effective teaching and individual growth. An effective faculty member needs to pursue, throughout her/his career, a variety of activities that sharpen intellectual rigor, maintain and extend the range of subject competency, and sustain scholarly dialogue with colleagues within and outside the college for the purposes of extending and/or creating new knowledge and improving the quality of students' learning experiences. Demonstration of scholarly ability requires some kind of acknowledgement by peer or other communities. Just as independent student learning, experiential or otherwise, must become accessible or demonstrated in order to be academically recognized, so the scholarly ability of faculty must become accessible to others.

As the Trustees' description of "scholarly ability" indicates, demonstrations may take many forms. These include, but are not limited to, presentations at professional meetings, journal articles, monographs, textbooks, artwork, or documentation of new or innovative teaching/learning materials or approaches. Part of the college's mission is to recognize learning in whatever forms it occurs and to explore new forms of learning and teaching. This requires that the college describe scholarly ability in an open-ended way and that the faculty be recognized as independent learners. Accordingly, the college asks that faculty who are candidates for reappointment, continuing appointment or promotion provide, in their portfolios, their own descriptions of their scholarly ability and of how they have demonstrated it.

Because our basic mission is effective undergraduate and graduate mentoring, SUNY Empire recognizes that much scholarly activity often bears closely on improved teaching and service. Scholarly activity, broadly conceived, should be encouraged and must be supported systematically over the career of the mentor to the end that students may be more effectively served and that the mentor may find a multi-dimensional sense of professional satisfaction and fulfillment.

4. "Effectiveness of University Service — as demonstrated by such things as college and university public service, committee work, administrative work and work with students or community in addition to formal teacher-student relationships."

Participation in college service is available to all faculty members and it is expected that over time all full-time faculty will participate in collegewide governance bodies and academic activities (such as area of study meetings, professional development workshops, etc.).

Candidates and reviewers should consider and document the extent and the quality of the candidate's college service. Means of demonstrating institutional service may include:

- The extent to which the candidate has helped identify, develop, and evaluate learning resources, such as tutors, adjunct faculty members, cross-registration opportunities, field experience opportunities, cultural events and community activities.

- The nature of the candidate's general contribution to the school, its various committees and its overall development. This includes efforts to address and resolve academic and/or administrative problems and issues facing the college and activities that contribute to professional development and to the development of resources for students.

- The extent to which the candidate has helped identify, develop, and evaluate collegewide learning resources, such as workshops, bibliographies, residencies, independent studies, learning materials, study groups, curricula, approaches to academic skills development and so on.

- The extent of the candidate's contribution to various collegewide committees and task forces, and to the general development of the college.

- The extent to which the candidate has contributed to general activities of the State University of New York, its committees, commissions or other recognized bodies.

- The extent to which the candidate has contributed to higher education in general, through such activities as participation in various professional organizations and meetings, readings, exhibits, consultation with individual institutions or consortia, or writing.

- The extent to which the candidate has contributed to the community outside higher education and the professions, through services rendered to community organizations or through various other citizenship activities.

5. "Continuing Growth — as demonstrated by such things as reading, research, or other activities to keep abreast of current academic developments in the academic employee's fields and being able to handle successfully increased responsibility."

Continuing growth is dynamic and longitudinal. Current performance is compared with earlier performances. For example, is the mentor current in her/his field(s)? Has the mentor broadened her/his horizons? Has the mentor developed a new area of expertise and begun to teach in that new area? Are the contracts and evaluations of today superior to those of two or three years ago? Is current research more sophisticated (original, complex, innovative, etc.) than earlier research? Are recent publications of a higher quality? Does the mentor provide more substantial leadership over time? Growth is encouraged in a general sense, as well as within and beyond a discipline, and in relation to all of the review criteria.

E. ADDITIONAL CONSIDERATIONS FOR CONTINUING APPOINTMENT

The president, provost, Academic Personnel Committee, associate dean/dean, Initial Peer Review Committee, and any other person or groups who are consulted shall give consideration to qualities of the candidate as specified by the SUNY Policies. These criteria shall be interpreted within the context of SUNY Empire. As mentioned above, effectiveness in teaching is a foundation without which a successful review is not possible. In addition, the College Council passed the following resolution on Feb. 25, 1976, setting forth the basic context and principles for continuing appointment:

- Demonstrated excellence should be determined by a review made with great care.
- The college should be certain that those persons recommended for tenure represent areas of continued need.
- Attention should be given to maintaining flexibility in instruction.

After considering the recommendation of the president of the college, the chancellor of the State University of New York "may grant continuing appointments to such persons who, in the chancellor's judgment, are best qualified." (SUNY Policies, Article XI, Title B, Section 2.)

F. ADDITIONAL CONSIDERATIONS FOR PROMOTION IN ACADEMIC RANK

Faculty requests for promotion are due to your associate dean/dean one week before they are to be submitted to the provost (please see chart in part 4, section B of this document for details).

Promotion in academic rank is based on the five SUNY criteria for faculty personnel reviews: mastery of subject matter, effectiveness in teaching, scholarly ability, effectiveness of university service and continuing growth. In addition, the following considerations apply:

Promotion to Assistant Professor

There are two very specific circumstances in which promotion to assistant professor rank is effected administratively without peer review. This is an administrative adjustment of the appropriate title, rather than a promotion in rank, and is consistent with the criteria for initial appointment to this rank.

- A full-time faculty member who completes the appropriate terminal degree is usually promoted from instructor to assistant professor upon submission of evidence satisfactory to the provost, acting as the president's designee.

- A part-time faculty member who completes the appropriate terminal degree is usually promoted from lecturer to visiting assistant professor upon submission of evidence satisfactory to the provost, acting as the president's designee.

A candidate who does not have an appropriate terminal degree but has other strong and convincing evidence of mastery of a subject field may be considered for promotion to the assistant professor level. At a minimum, candidates shall normally have completed at least two years of successful service at the college, display mastery of the fundamentals of its pedagogy, and present evidence of continuing involvement in a professional or scholarly field or problem area.

Promotion to Associate Professor

Promotion to this rank is extremely rare in the absence of a terminal degree. Candidates shall normally have at least five years of successful service at the assistant professor level. They should demonstrate mastery of the faculty mentor role as manifested in the ability to work productively with students and to communicate with students and the college in prescribed ways about the academic work that the students are undertaking. They should have demonstrated the ability to help colleagues solve problems in mentoring and to become better mentors. They should have made some significant contribution to the school, the college or the larger community. They should demonstrate academic or professional achievements through such means as publications, academic presentations (at professional conferences, for example), presentation of works of art, development and sharing of teaching and learning resources, etc.

Promotion to Full Professor

Because achievement of the rank of professor is a major milestone in a faculty member's career, it deserves special attention. Promotion to this rank should be a culmination of successful performance at the previous rank. Candidates shall normally have spent five years or more of successful service in the rank of associate professor and have demonstrated sustained excellence in the role. It is expected that over their careers faculty will individually choose to concentrate their efforts on one or more of the five areas of the SUNY criteria. Thus, individual candidate's achievements in some areas will be greater than in others. However, the review at this level, as with any review, includes all five criteria.

Candidates should demonstrate continued mastery of subject matter in the ways described above in Section D. In addition, and of particular importance for SUNY Empire faculty, those seeking promotion to full professor should show evidence of thorough mastery of the fundamentals and fine points of mentoring and teaching in SUNY Empire modes. As part of that mastery, they should have proven their ability to serve as mentors to less experienced mentors. As the earlier discussion of the criteria states, the college interprets scholarly ability in a broad, open-ended way. Consistent with that interpretation, candidates for full professor should be able to point to scholarly achievements since their last promotion, thereby demonstrating continuing scholarly ability (see Section D). Because the rank of full professor implies some significant role within the faculty, candidates should have attained a recognized position of leadership in some phase of the college or school. Finally, they should evidence continuing growth in the faculty role, in terms of achievements and professional development.

Revisions Part IV of in this document reflect changes discussed and agreed to in negotiation meetings through June 13, 2017. Edited document created June 27, 2017.

PART IV. PERSONNEL REVIEW PROCEDURES

Policies and procedures for faculty reappointment, continuing appointment and promotion reviews are governed by SUNY Policies of Board of Trustees and NYS-UUP contract. In the event of inconsistency or conflict between provisions of the NYS-UUP contract and SUNY Board of Trustees policies or college bylaws, the provisions of the contract shall apply. These policies and procedures fall under the heading of "terms and conditions of employment" and are therefore subject to labor-management negotiations. SUNY Empire's policies and procedures are found in Parts IV and VI of this handbook. Part IV also provides information on amendment procedures for those sections of the handbook.

The following page is the signature page for the current memorandum of agreement on these matters between SUNY Empire State College and United University Professions.

City of Saratoga Springs
County of Saratoga
State of New York
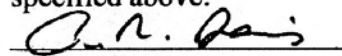
A MEMORANDUM OF AGREEMENT BETWEEN THE STATE UNIVERSITY OF NEW
YORK,
EMPIRE STATE COLLEGE
AND
UNITED UNIVERSITY PROFESSIONS

THE STATE UNIVERSITY OF NEW YORK, EMPIRE STATE COLLEGE and UNITED UNIVERSITY PROFESSIONS ("the parties") agree to adopt and implement the negotiated revisions to the original negotiated Memorandum of Agreement entitled "performance Review of Academic Employee: Policies and Procedure" hereinafter referred to as "the MOA," including all Articles and Appendices thereto. The parties agree that the revised MOA is binding on both from the date of signing; any future changes or amendments to the MOA must be made by mutual consent; and this signed MOA will replace the original MOA in the current Empire State College Faculty Handbook and will be published with it.

On the 24th day of March, 2010 at Saratoga Springs, New York
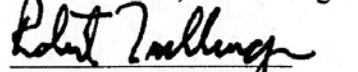
I, Alan R. Davis, President of the State University of New York, Empire State College commit the college to the MOA as specified above.

I, Jacqualine Berger, President of the Empire State College Chapter of United University Professions, acting with the full knowledge, written consent and authority of Phillip H. Smith, President of United University Professions, commit United University Professions to the MOA as specified above.

Alan R. Davis
College President
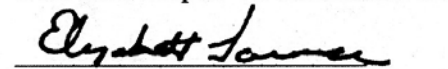
Jacqualine Berger
UUP ESC Chapter President
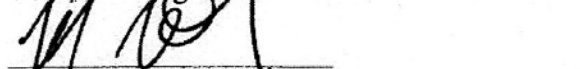
Witnesses: We, the undersigned, witness the signing of this MOA
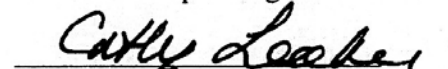
Robert Trullinger
Dean, ESC Negotiations Team

Richard Butler
UUP ESC Chapter Vice President Academics
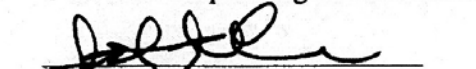
Cynthia Ward
Dean, ESC Negotiation Team

Elizabeth Lawrence
UUP ESC Chapter Negotiations Team

Mitchell Nesler
Assistant Vice President for Institutional Research

Cathy Leaker
UUP ESC Chapter Negotiations Team

Leslie G. Cohen
Assistant Vice President for Human Resources
ESC Negotiations Team

John Lawless
UUP ESC Chapter Negotiations Team

A. GENERAL PERSONNEL REVIEW PROCEDURES

Personnel Review Principles

The following principles guide personnel review at SUNY Empire:

- **Peer and Administrative Reviews** — Decisions regarding reappointment, continuing appointment and promotion in rank are the responsibility of the president of SUNY Empire. The formal process leading to a decision includes peer review by the Initial Peer Review Committee (IPRC), faculty peer reviewers and the Academic Personnel Committee (APC), and administrative review by the associate dean/dean, the provost and the president. Peer reviewers consult administrative reviewers on the substance of a case, and vice versa. Peer reviewers and administrators also consult with one another on procedural matters. Careful consultation on procedures ensures that review processes are fair, timely and consistent with college and SUNY Policies and the NYS UUP Agreement.

- **Professional Obligation** — The foundation for the evaluation of a candidate is her/his professional obligation, described in Article XI, Title H, Section 2 of the Policies. The criteria stated in Article XII, Title A, Section 4 are applied, as appropriate, to the professional obligation assigned to the candidate. Part II, Section F of this handbook includes a discussion of the overall "faculty obligation" or responsibilities of faculty at SUNY Empire. Additional standards, articulated in Part III, Sections D, E and F of this handbook are used for review, as appropriate.

  Both the candidate and reviewers also need to have basic information on the overall scope and balance of the individual candidate's responsibilities. It is particularly important when a candidate has responsibilities across settings or undertakes special assignments, that all reviewers have this information to provide a context for assessing performance.

- **Formative and Summative Review** — The performance review process necessarily addresses summative issues of reappointment, continuing appointment and promotion. At these points of review, Article XII, Title A of the SUNY Policies mandates appraisals of how well a faculty member has met her/his professional obligation. Criteria for review are specified in the SUNY Policies and are discussed in Part III of this handbook.

- **Confidentiality** — All participants in the personnel review process must recognize the sensitivity and privacy of personnel reviews and the confidentiality necessary and appropriate to them. Candidate portfolios and any written or electronic materials and evaluations and recommendations must be treated by all reviewers as confidential. Deliberations of peer review bodies should not be disclosed outside of those bodies.

- **Fairness** — Consistent review procedures across college settings enable candidates and reviewers to understand the procedures and to conduct full and fair reviews.

- **Candidate Portfolio** — The candidate is responsible for making a full case in the portfolio regarding the personnel action under consideration.

- **Reviewer Roles and Responsibilities** — Those who participate in the review process exercise professional judgment based on the review criteria and the documentation available for each personnel action under consideration.

  Faculty reviewers should fully understand the responsibilities and challenges associated with peer review. Reviewers must have the capacity to participate actively and exercise fair independent judgment during the review process. In the interest of full and fair review processes, peer reviewers must also be assured that the judgments they make in good faith regarding any individual case will not have a detrimental effect on their own professional well-being.

- **Centrality of the Review File** — Reviewers should base their analyses and recommendations on a common base of information contained in the review file.

- **Cumulative Evidence** — Personnel review is based on cumulative, documented evidence of performance. The intent of providing a cumulative record is to enable the candidate and reviewers to integrate formative considerations into the review.

- **Additional Evidence and Considerations** — Participants in the personnel review process base their assessments of the candidate's performance on documents in the review file and in the public domain, and on first-hand experience, not on rumors, anecdotes or hearsay. Any reviewer does and should consider her/his own first-hand experience with the candidate under review, as part of her/his professional judgment on the personnel action under consideration. Further, an individual's judgment may be affected by the analysis offered by others in discussion of a case, and this is appropriate. All such experiences and/or materials must be documented and/or referenced in the review file.

- **Candidate Responses to Evaluations and Recommendations** — Consistent with Article 31.1a and b in the NYS UUP Agreement, candidates for review have the opportunity to respond in writing to all written evaluations and recommendations and documentation produced during the review process. The candidate may also add documentation to the portfolio at any time during the review process.

- **Fiscal and Programmatic Considerations** — Peer reviewers may not use fiscal or programmatic considerations in their evaluation of the candidate. While performance-based, administrative recommendations may take into account fiscal or programmatic considerations. Likewise, Article XI, Title A of the SUNY Policies states that it is the president's prerogative to include fiscal and programmatic considerations as factors in her/his final decision on the personnel action.

- **Consistent and Constructive Feedback** — SUNY Empire takes seriously the selection of new faculty, with the intention that they will be successful at the college. Ongoing feedback about a candidate's performance reduces the likelihood that performance-based deficiencies will unexpectedly emerge in later years of a candidate's review prior to continuing appointment. Constructive, formative feedback and available support resources help employees meet performance review criteria and contribute to their professional development.

- **Personnel Review as Distinct from Discipline** — The procedures described herein support the review of a candidate's performance. No reviewer may use the personnel review process to formulate recommendations regarding issues beyond the established personnel review criteria. Allegations of professional misconduct (e.g., plagiarism, violations of academic freedom, sexual harassment, etc.) and/or any other alleged violation of the employment relationship must be processed in conformity with applicable policy, including the provisions specified in Article 19 of the NYS UUP Agreement. Questions regarding such issues may be addressed to the president's designee for employee relations and the leadership of the UUP/SUNY Empire chapter. The president may consider material in the candidate's official personnel file at her/his discretion.

Personnel Review Across College Settings

Many faculty work in more than one department/school, either informally or through a formal, shared assignment across settings. In order to provide full and fair reviews for all mentors, both peer and administrative recommendations take into account the candidate's work beyond the home department/school.

The home department/school is the one from which the Initial Peer Review Committee (IPRC) and associate dean/dean evaluations and recommendations originate for a candidate. In the School for Undergraduate Studies, each department has an IPRC. In the School for Graduate Studies, School of Nursing and Allied Health, and Harry Van Arsdale Jr. School of Labor Studies, there is a school/center level IPRC. Reviewers consider the candidate's performance in programs within and beyond the candidate's home department/school.

Assessment of performance across college settings is facilitated in several ways:

- The initial review file contains the candidate's appointment history, including shared appointments, reassignments and leaves.
- In the portfolio, the candidate analyzes and documents her/his work in each setting in which he/she plays a significant role.
- The Student Assessments of Learning Experiences (SALE) include input from students with whom the candidate has worked across settings.

Procedural Information

The candidate should rely on this handbook as the primary source of procedural information. If the candidate needs clarification about department/school procedures, he/she may consult the IPRC chair. If further clarification is needed, he/she may consult the associate dean/dean. If the candidate needs clarification about college-level procedures, he/she may consult the APC chair. If further clarification is needed, he/she may consult the provost or provost's designee. At any point in the process, the candidate can consult with the leadership of the UUP/SUNY Empire chapter.

B. CALENDAR FOR FULL-TIME FACULTY REVIEWS

For all review calendars, if the due date for an item or action falls on a weekend or holiday, the item or action is due on the next business day.

Calendar for Spring Reappointment, Continuing Appointment, and Promotion Reviews

Stage	Dates	Summary of Actions
	Oct. 1–15	o Promotion requests due to the provost.
1	Oct. 16–Nov. 2	o Provost/Office of Academic Affairs (OAA) provides names of candidates under review to associate deans/deans, candidates, IPRC chairs and Decision Support.
2	Nov. 3–16	o OAA creates electronic review file (ERF) for each candidate. o Decision Support oversees Student Assessment of Learning Experiences (SALE) survey for each candidate. o Candidate provides contact information to associate dean/dean and IPRC chair for solicited letters (if any).
3	Nov. 17–Dec. 1	o OAA places documents from last two personnel reviews (if any) in ERF. o OAA places candidate's employment chronology (shared appointments, reassignments, leaves since initial appointment) in ERF. o IPRC chair and associate dean/dean solicit letters (if any) based on candidate list.
4	Dec. 2–15	o ERF is available for candidate and associate dean/dean review. o The candidate and/or associate dean/dean have until December 15 to email to the provost, if applicable request for correction of prior review documents or the employment chronology. The provost makes appropriate corrections, if any, to these documents.
5	Dec. 16–Jan. 15	o Period for placement of relevant evidence in ERF: o Decision Support submits SALE survey results. o Individual peer or administrative reviewers submit documents. o IPRC chair submits solicited letters, if any (some letters may be viewed by candidate and some may not).
6	Jan. 16–22	o The candidate has five working days after January 1 to request that an item of relevant evidence (other than the employment chronology or past review documents) be, if applicable, corrected or removed. The candidate sends an email request to the assistant VP for human resources. Feb. 15 is the final date for decision and action by assistant VP for human resources and past APC chair regarding any candidate request that an item of relevant evidence be corrected or removed.
7	Jan. 16–Feb. 16	o Candidate places her/his self-report and CV in ERF, along with any attachments or links to supplementary materials. (Additional supplementary materials may be submitted to the associate dean's/dean's office.)
8	Feb. 17–April 1 By March 16 By April 1	o Peer reviewers, associate dean/dean, provost and APC have read-only access to ERF, except the provost and APC do not have access to the draft IPRC evaluation or candidate's response to draft. o IPRC chair places the draft IPRC evaluation and recommendation in ERF. o IPRC chair places the department/school faculty vote and final IPRC evaluation and recommendation in ERF. o Associate dean/dean places her/his evaluation and recommendation in ERF. o Access to the draft IPRC evaluation and any response is revoked, and the documents will be automatically deleted after a short waiting period.
Optional — The candidate may respond, preferably within five working days, to any of the preceding department/school-level actions, including the draft IPRC evaluation and recommendation. The candidate places her/his response, if any, in the ERF.		
9	April 2–May 31	o APC chair places APC evaluation and recommendation and vote in ERF.
Optional — The candidate may respond, preferably within five working days, to the APC evaluation and recommendation and vote. The candidate places her/his response, if any, in the ERF.		
10	June 1–5	o File review period — provost's office notifies candidate that s/he has a formal opportunity to review file contents during a five-day period within this window.
11	June 6–30 By June 30	o President has access to ERF. o President's notice of personnel outcome posted to ERF.
12	July 1 forward	o Candidate has access to outcome. The candidate for review, associate dean/dean and provost retain access to the Electronic Review File after the conclusion of a review. Review file is closed to other reviewers.

C. NORMAL REVIEW CYCLE FOR FACULTY PRIOR TO CONSIDERATION FOR CONTINUING APPOINTMENT

Faculty who are in academic appointments leading to consideration for continuing appointment (tenure) are placed on term appointments. Wherever possible, terms are adjusted for a July 1 to June 30 cycle.

- Normally, the initial term appointment is for three years and subsequent, term appointments are for two years.
- Normally, the review cycle is structured so that a reappointment review takes place one year before consideration for continuing appointment (i.e., two years before the continuing appointment date.)
- Three-year appointments for the second or third term are rare but possible; they are based on substantial evidence of superior performance.
- A one-year term renewal may be necessary because of the timing of the faculty member's candidacy for continuing appointment. In the absence of such a consideration, granting a one-year term in a subsequent appointment of a full-time faculty member is an indication of performance concerns. In such cases, there should be clear justification for renewal, based on evidence that supports an expectation of improved performance.

The table below illustrates the typical review cycle for a new full-time faculty member who has a standard, seven-year period prior to her/his potential tenure date. As stated in the SUNY Policies, a term appointment carries no presumption of an additional appointment beyond that term. This example shows positive results for each reappointment review, for purposes of illustration only.

Start Date	First Term Ends	First RA Review	Next Term Ends	Next RA Review	Next Term Ends	CA Review	CA Date
July 1, 2014	3 years to June 30, 2017	SPR 16	2 years to June 30, 2019	SPR 18	2 years to June 30, 2021	SPR 20	July 1, 2021

Service Credit Toward Continuing Appointment (Tenure) Consideration

Eligibility for continuing appointment is set forth in Article XI, Title B, Sections 3 (a) and (b) of the SUNY Policies.

In accordance with Article XI, Title B, Section 3(d) of the SUNY Policies, if the appointee requests service credit at the time of the initial appointment, the college may (in some cases must) award it up to a maximum of three years toward consideration for continuing appointment, based on prior years of full-time service in academic rank at other institutions.

The chancellor's designee (currently, as delegated by the president, the provost) determines such credit at the time of the initial appointment, based on the Policies, and in consultation with the associate dean/dean and the faculty member. In cases where service credit is granted, 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.

When service credit is granted, the period of service required prior to the continuing appointment date is shortened and the provost modifies the review cycle illustrated above.

The initial letter of appointment indicates the individual's continuing appointment date, which reflects any service credit that applies.

D. ANNUAL REPORT AND PLAN

The professional obligation of a faculty member is specified in Article XI, Title H, Section 2 of the Policies of the SUNY Board of Trustees, and includes teaching, research, university service, and other duties and responsibilities required during the term of the faculty member's professional obligation. The college intends that the mix of these duties and responsibilities for each faculty member be part of an ongoing plan, developed by the faculty member, with consultation and advice from the associate dean/dean. The college provides a form that can be used for creating such plans. This form is available in Appendix 2.

The annual report and plan also is the college's way of implementing the SUNY "faculty utilization initiative," as described in Part II, Section F.

The faculty member may consult the associate dean/dean about the ongoing activities in his or her plan at any time. At least annually, the faculty member and associate dean/dean meet to review and discuss progress of the activities currently in the plan, and to consider any modifications. The role of the associate dean/dean is advisory and intended to facilitate the professional development of the faculty member.

The associate dean/dean and faculty member determine when the consultation occurs. In some cases, it may coincide with a scheduled review.

The teaching obligation of full-time faculty members is multi-faceted, as described in Part II, Section F. One element of the teaching obligation is the annual credit hour expectation, which the associate dean/ dean assigns to the individual faculty member. Annual credit hour expectations are based on collegewide parameters. The associate dean/dean may adjust the annual credit hour expectation for an individual, in light of her/his other responsibilities and local circumstances, to be confirmed in writing. Adjustments should always be made in the context of the ongoing plan. In some college settings, the teaching obligation is established differently.

The faculty member is obligated to undertake scholarly activities that make academic sense to him/her. The college cannot stipulate the specific activities that a faculty member needs to undertake in this area. The faculty member and associate dean/dean consult on the faculty member's activities and plans in the area of scholarship.

The faculty member is obligated to provide service to the center, college and/or profession that fit with the individual's interests and qualifications. The college cannot stipulate the specific elements of service that the faculty member must undertake. The faculty member and associate dean/dean consult on the faculty member's service activities and plans.

In regard to both scholarship and service, the faculty member may seek guidance and feedback from her/ his associate dean/dean regarding the extent and appropriateness of current and proposed activities. The associate dean/dean may initiate such discussions with the faculty member, but the primary responsibility rests with the faculty member to seek input on the appropriateness of his or her scholarship and service activities in meeting the expectations of the professional obligation.

E. REVIEW FILE

Establishing the Candidate's Review File

The college establishes a separate review file for each candidate. The review file contains all documents on which the personnel review is based, except for documents in the public domain referenced by citation. It is the container of documents used by reviewers.

Purpose of the Review File

A review file contains both evidence and evaluations and recommendations regarding the personnel action under consideration. Its purpose is to preclude decisions based on gossip, hearsay or unsubstantiated innuendo by providing as complete a record as possible of the candidate's performance. Therefore, unless another part of the procedure provides otherwise, documents in the review file, including specific references to relevant information in the public domain and documented first-hand experience, supply the only performance-related evidence to be considered at every step of the evaluation process.

Electronic Review File

The geographically dispersed nature of the college makes it difficult to ensure that all reviewers are able to review the file, and at the same time maintain the security and confidentiality of file documents. Therefore, the college has established an electronic review file.

The electronic review file contains an inventory of the file contents that is updated each time an item is added to the file. The inventory shows the date, title or description and source of each item in the file. The candidate receives an electronic notice when any item is placed in the review file.

The provost is responsible for establishing access to the review file by the candidate and reviewers in accordance with the review calendar. Information Technology Services is responsible for technical support of the electronic review file.

Chairs of peer review bodies arrange for reviewers to have access to the electronic file during face-to-face deliberations on a case.

Supplemental Review File

For supplementary materials that cannot be housed within an electronic file, the associate dean/dean and the provost designate support staff members to maintain supplemental files in the center office and the provost's office, respectively. The designated staff members manage these materials in a manner that is equivalent to procedures for the electronic file. Thus, staff ensure that:

- The supplementary file is in a secure location.
- There is an inventory of the contents, which shows the date, title or description and source of each item in the file. The staff member updates the inventory each time an item is added to the file.
- The candidate immediately receives a notice (and when feasible, a copy) when an item is added to the file by someone other than the candidate.
- Reviewers have access to the supplemental file in accordance with the review calendar.

Electronic Review File Contents

During the review process, the electronic review file accumulates documented evidence that serves as the basis for evaluations and recommendations on the personnel action under consideration.

The provost establishes the electronic review file. The provost places in the file the following historical documents from the previous two personnel reviews for reappointment, continuing appointment and/or promotion:

- The SALE summaries, including population and sample information, a tally of student responses to quantitative questions and a verbatim transcription of student responses to open-ended questions;
- Candidate portfolio and any supporting documents provided by the candidate except those that need to be housed in a supplemental file;
- IPRC evaluation and recommendation;
- Faculty peer reviewers' vote;
- Associate dean/dean evaluation and recommendation;
- APC evaluation and recommendation and vote;
- Letter from the president conveying her/his decision.

The provost also prepares and submits to the file an employment chronology (shared appointments, reassignments, leaves) since the candidate's initial appointment.

The candidate and/or associate dean/dean have until December 15 for spring reviews to email the provost a request for correction of prior review documents or the employment chronology. The provost makes appropriate corrections, if any, to these documents.

Next, the following documents are submitted to the file up to the relevant dates set by the personnel review calendar:

- Decision Support staff prepare and submit the relevant SALE survey results, as provided in Section F.
- The IPRC chair submits any solicited letters received from a list of contacts submitted by the candidate.
- Peer and administrative reviewers may submit unsolicited documents if these documents add substantive evidence to the process. The author/source of an unsolicited document must be identified (see Article 31.1a in the Agreement).

The candidate receives an electronic notice when any item is placed in the review file by someone other than the candidate, and should review the item and make a copy for her/his personal files. This provision satisfies Article 31.1.a. of the UUP Agreement.

The candidate has the opportunity to review the historical file and the added material described above before other reviewers have access to the file. Access to this material assists the candidate in preparing her/his portfolio and enables him/her to determine that the initial documents in the file are relevant and accurate. At this time, the candidate may request correction or removal of one or more documents contained in the file (except for documents from previous reviews and the employment chronology), as outlined in Section H.

Once the deadline has passed for any request by the candidate for removal or correction of a document, the candidate and evaluators submit formal reports and recommendations in the following order:

- The candidate's portfolio (see Section I).
- The evaluation and recommendation of the Initial Peer Review Committee and the faculty peer reviewers' vote (see Section J).
- The evaluation and recommendation of the associate dean/dean (see Section K).
- The evaluation and recommendation of the Academic Personnel Committee and the APC vote (see Section L).

- Consistent with Article 31.1a of the Agreement, the candidate may submit to the review file responses to any of the preceding evaluations and recommendations, preferably within five working days of their submission to the file. The candidate may submit additional material he/she considers pertinent to the personnel action at any time during the review process.

The notification letter from the president becomes part of the historical documentation at the start of the next personnel review (see Section M).

Access to Electronic Review File Following Review

The candidate for review, associate dean, department chair and provost retain access to the electronic review file (ERF) after the conclusion of a review. This supports the candidate's professional development and preparation for future reviews by facilitating follow up discussion with initial and college reviewers.

F. PROCEDURES FOR STUDENT ASSESSMENTS OF LEARNING EXPERIENCES (SALE)

Decision Support administers the SALE instruments to solicit students' input regarding their learning experiences with the faculty member for purposes of faculty development and for faculty reviews.

Candidates and reviewers should give SALE results appropriate but not undue weight in the review, keeping in mind that SALE results are only one component of a broader array of measures of teaching effectiveness discussed in Part III, Section D, item number two, of this handbook. Furthermore, both candidates and reviewers should exercise good judgment in considering individual student responses. As data, SALE results do not necessarily speak for themselves. They must be interpreted in light of factors such as sample sizes, response rates and the context of a faculty member's professional obligation and work setting. A considerable amount of research has been conducted that outlines the factors that influence student feedback of this type including various forms of bias. The college provides a link www.esc.edu/DecisionSupportteachevalarticle to a short literature review summarizing factors that affect students' ratings. Candidates and reviewers should be aware of this information prior to evaluating any candidate's SALE results.

Three separate SALE instruments are administered by Decision Support. The first is an end of study/course instrument administered to all actively registered students. The second is specifically designed for studies in educational planning, a unique and particularly important study at SUNY Empire. These two SALE instruments are administered approximately two weeks prior to the end of each term. Students will have approximately two weeks to respond to the SALE and nonrespondents will receive reminders to complete it. The intent of the timing of the SALE is to collect information from students prior to their receiving their final evaluations and/or grades for the course or study and to provide the faculty member an opportunity to use the feedback for continuing development. Thus, students in all credit bearing studies each term will receive one or both of these SALE instruments. The third instrument is designed for mentees and is administered to primary mentees who have been enrolled in the college within the past two years and have been assigned to the candidate for no fewer than 90 days. Mentee SALE will be administered according to the calendar established in this document.

Decision Support will administer the SALE using best practices in survey research as well as experience with the process at SUNY Empire. Decision Support follows administrative guidelines for administering the SALE: https://www8.esc.edu/escnet/decision-support/sale-survey/.

Student responses to each SALE are confidential. Neither the candidate nor reviewers may view raw response data or know which individual students responded to any SALE.

Decision Support oversees the preparation of aggregate reporting of SALE results, including response rate information, summary data from student responses to quantitative questions, and a verbatim compilation of any open-ended responses. Responses are recorded as they are received and cannot be removed from the summaries.

The SALE will be closed after the response period so that reports can be generated. Student feedback received after the SALE has closed will not be included in the data analyses.

By the date specified in the review calendar, Decision Support places SALE results in the candidate's electronic review file (ERF). For a part-time faculty member or professional employee who is appointed to a full-time tenure track position, SALE results for terms prior to full-time appointment are not included in ERF.

Decision Support is responsible for maintaining confidential storage of all SALE responses for the period of time required by state law.

Access to the end of course/study SALE will be available to the associate dean/dean and the faculty member on an ongoing basis in an identified appropriate electronic repository. This access will be granted as soon as practicable after 45 days from the end of the term. Access to the educational planning SALE will follow the same protocol. Access to these SALE results will be available through the ERF following the procedures outlined in the calendar established in this document. Access to the primary mentee SALE will be available to associate deans/deans and faculty through the ERF following the calendar established in this document. In the case of adjunct faculty, associate deans/deans, and faculty with adjunct management responsibilities will have access to the appropriate SALE results.

The college will make use of aggregate SALE data for research, program evaluation, and accreditation purposes including research on factors that affect student ratings. In such instances, data will be presented in an aggregate form to protect the anonymity of any individual faculty member or student. The college encourages research that will inform professional development for faculty, examining which elements of SALE are related to effectiveness in creating a learning environment that fosters student success and faculty professional development.

G. SOLICITED LETTERS

Candidates for reappointment, continuing appointment and promotion may wish to identify colleagues from outside their department/school or outside the college who may provide letters of support related to their performance. Typically, candidates for continuing appointment and promotion solicit letters of support from outside the department/school and/or outside the college.

If the candidate elects to request letters, he/she provides the list to the IPRC chair. With staff support, the IPRC chair sends the Solicited Letter Consent form (SLC) to all persons on the list, and requests that they return the form along with a letter commenting on the quality of the candidate's performance with regard to the review criteria.

The SLC form details the conditions set forth in Article 31.2b of the UUP Agreement. Specifically, the candidate may view a letter solicited for a review only if the person writing the letter has given permission for the candidate to see the letter. The SLC form asks the letter writer to specify whether the letter may be viewed by the candidate. If the letter writer does not grant access by the candidate, the IPRC chair adds the letter to a part of the review file that is available to reviewers but not to the candidate.

The SLC form is available in Appendix 1 to the Faculty Handbook, online and in print.

The SLC will contain information about how the respondent can complete the SLC form online and submit their letter to a college database to be transferred to the candidate's ERF or send the SLC form and letter to the IPRC chair.

The candidate may request that specific solicited letters from the most recent past review be copied into the current ERF. In the original request for solicited letters, respondents will be asked whether or not the letter may be used in a subsequent review. Only solicited letters from the most recent past review, for which the writer has given permission for use in a subsequent review, may be moved to the current ERF at the candidate's request.

H. DOCUMENT CORRECTION OR REMOVAL PROCEDURE

Once the deadline for submitting initial evidence has been reached and before other participants in the review procedure have access to the review file, the candidate may conclude that one or more of the initial documents is incorrect or inappropriate. The candidate may request correction or removal of a document. This is a one-time-only option, available to the candidate only at the beginning of the personnel review process, before the review begins, and before any reviewer sees the file.

Consistent with Section E, and the calendar, this procedure does not apply to documents from previous reviews or the employment chronology. The candidate and/or associate dean/dean have until January 15 for a spring review, to email the provost a request for correction of prior review documents or the employment chronology. The provost makes appropriate corrections, if any, to these documents.

Once the calendar deadline for submitting initial evidence has been reached, the candidate has five working days to submit to the assistant vice president for human resources a request to correct or remove a document.

Those responsible for reviewing documents questioned by a candidate should not be in the review sequence for the personnel action under consideration for the candidate. Therefore, the request is heard by the assistant vice president for human resources and the most recent available past chair of the Academic Personnel Committee who is not otherwise involved in the current review process for the candidate.

A decision on the request must be reached in no more than five working days.

The decision of these two individuals is final. If these two individuals cannot reach agreement on the document(s), the evidence is corrected or removed.

If the candidate's request that a document be corrected or removed is granted, the assistant vice president for human resources makes the correction or removes the document from the review file and destroys the document. The original evidence in any form cannot be resubmitted to the review file at a later point in the review process.

I. CANDIDATE PORTFOLIO

Article XI, Title H, Section 2 of the SUNY Policies states that faculty professional responsibilities include teaching, research, university service and other duties and responsibilities. For reappointment, continuing appointment and/or promotion, the candidate submits a portfolio to the review file, which provides evidence of her/his performance in these areas, in the context of the faculty review criteria.

The five criteria for evaluation of academic employees specified in the SUNY Policies (Article XII, Title A, Section 4a-e) as applied to the professional obligation (Article XI, Title H, Section 2) are mastery of subject matter, effectiveness in teaching, scholarly ability, effectiveness of university service, and continuing growth. (See also Part III, Section D of this handbook.) In addition to the SUNY criteria, SUNY Empire has articulated standards for continuing appointment and promotion in rank, in Part III, Sections E and F, respectively, of this handbook.

The portfolio plays a central role in the considerations of the Initial Peer Review Committee, faculty peer reviewers, the Academic Personnel Committee, and the associate dean/dean, provost and president.

The candidate may consult the IPRC, other peer reviewer colleagues and/or the associate dean/dean in developing her/his portfolio.

Required Elements of the Candidate Portfolio

In the portfolio, the candidate should illustrate and analyze the quality and scope of her/his work. SUNY Empire faculty engage in a broad range of responsibilities and roles, and documenting all of them can result in voluminous portfolios. Although the portfolio should have adequate breadth, overwhelming reviewers with a huge portfolio is not an effective strategy.

Candidate portfolios should include:

- An essay or self-evaluation that presents the candidate's case for reappointment, continuing appointment and/or promotion in relation to the SUNY criteria as they apply to the candidate's professional obligation. The candidate analyzes her/his responsibilities and performance during the review period, in both primary and secondary settings. When relevant, the candidate's essay should include an analysis of and response to any developmental recommendations made in the most recent review. The essay/self-evaluation should be clear, concise and normally should not exceed 5,000 words.

- Samples of actual learning contracts and/or course guides or materials developed by the candidate for individuals or groups, samples of credit by evaluation prepared by the candidate, as well as samples of student degree programs that the candidate has mentored. Keeping in mind the flexible interpretation of teaching effectiveness outlined in Part III, section D of this handbook, the candidate selects examples that best illustrate the breadth and quality of her/his mentoring and teaching. To the extent possible, information that identifies individual students should be removed from copies of student documents in order to protect student privacy.

- A current curriculum vitae.

Beyond these required components, the candidate might augment her/his portfolio with any additional material he/she deems relevant to the personnel action under consideration. For example, it is useful for the candidate to include in the essay a brief discussion of her/his personal philosophy of mentoring and perspective as a participant in the SUNY Empire community. The candidate may reference work prior to employment at SUNY Empire. In this case, the candidate should demonstrate the relevance of the prior work to the current review and the review criteria.

The candidate may have produced materials that cannot easily be placed in the file, such as works of art, books, websites, or other evidence of quality. In such instances, the candidate is not required to include all these materials in the portfolio, but may include them in a supplemental file or cite where the work can be found so that reviewers may access this evidence.

For reappointment reviews, the portfolio generally focuses on the period under review. For continuing appointment reviews, the portfolio addresses the candidate's full career at SUNY Empire. For promotion reviews, the portfolio generally focuses on the period since the last promotion.

When a faculty member is under review for two personnel actions in the same year (e.g., for reappointment or continuing appointment, as well as for promotion), the candidate submits a single portfolio and one review file is used for both actions. The portfolio addresses all evaluation criteria and standards that are relevant to both personnel actions under review.

J. INITIAL PEER REVIEW PROCEDURES

Initial peer review is done at the department level in the School for Undergraduate Studies, at the school level in the School for Graduate Studies and the School of Nursing and Allied Health, and at the Harry Van Arsdale Jr. School of Labor Studies.

At the start of each review cycle, the associate dean/dean informs faculty peer reviewers of candidates scheduled for personnel review. The associate dean/dean and IPRC chair lead a review and discussion of relevant personnel review policies and procedures contained in the Faculty Handbook. These procedures include the review criteria, general principles, roles and responsibilities, calendar deadlines, access to the review file, security and confidentiality, etc.

Voting Eligibility

To facilitate the peer review and voting process, the associate dean/dean updates and distributes at the start of each review cycle a list of faculty peer reviewers who meet the eligibility criteria outlined below. The associate dean/dean and IPRC chair make corrections in this list as necessary.

Faculty who hold academic rank or qualified academic rank and who are on half-time or larger appointments within the department/school are eligible to vote on faculty personnel reviews, to vote in elections for Initial Peer Review Committees (IPRC) members and to serve on the IPRC.

Faculty who are on shared assignments in two or more departments/schools or in the School of Labor are eligible to vote on faculty personnel reviews, to vote in elections for Initial Peer Review Committee (IPRC) members and to serve on the IPRC in only the home department/school.

College procedures provide for active participation by untenured and part-time faculty in personnel reviews. Full participation by these and other faculty is best promoted by a climate of fairness and sensitivity on the part of all colleagues and by maintaining confidentiality.

Department/school representatives to IPRC and APC are permitted to vote on the personnel actions under consideration.

The candidate shall not be present during discussions of, and shall not vote on, her/his peer review.

Professional employees and management/confidential personnel are not eligible to attend or participate in IPRC or faculty peer reviewers' discussions of, or vote on, the candidate's application.

Peer-administrative Consultation

The associate dean/dean has the administrative responsibility to ensure that relevant policies and procedures are followed in center-level personnel reviews.

The associate dean/dean and the IPRC consult one another on the substance of a candidate's review, including such elements as interpretation of SALE survey results. Input from academic and student service professionals is discussed in the peer-administrative consultation meeting. Ideally, such consultation occurs prior to the draft IPRC evaluation and recommendation being placed in the ERF. The associate dean/dean does not consult with the faculty peer reviewers as a whole on the substance of a candidate's review. The IPRC is informed by the associate dean's/dean's input but forms its own evaluation and recommendation.

During the review process, the associate dean/dean and the IPRC and faculty peer reviewers consult one another as needed regarding the review criteria, general principles, roles and responsibilities, calendar deadlines, access to the review file, and security and confidentiality, etc. The IPRC and participating faculty also may consult with the SUNY Empire/UUP leadership and with the Office of Academic Affairs.

Initial Peer Review Committee Composition

The faculty eligible to participate in the initial peer review elect at least three eligible faculty members to serve as members of the IPRC. These faculty peer reviewers elect one IPRC member as the IPRC Chair. APC members do not simultaneously serve on an IPRC.

When there are not enough full- or part-time faculty members in a department/school to form a complete IPRC, or at the request of the full-time faculty of a small department/school, the IPRC is formed through alternative means, as follows: faculty nominate eligible faculty for the IPRC from within and/or outside the initial peer review group. The department chair ascertains which of those nominated are willing to serve, and informs the faculty. The faculty peer reviewers elect the IPRC membership from those who are nominated and willing to serve. The initial faculty peer reviewers elect one IPRC member as Chair.

Initial Peer Review Committee Evaluation and Recommendation

The Initial Peer Review Committee (IPRC) prepares a draft written evaluation and recommendation on the personnel action under consideration. Based on materials contained in the review file, this document assesses the candidate's performance in relation to the SUNY criteria and any relevant standards, and in the context of the candidate's appointment history.

The draft IPRC evaluation and recommendation is based on the contents of the review file; it does not simply paraphrase or extensively quote from or rely on the candidate's essay. When relevant, the draft evaluation and recommendation includes specific references to relevant information in the public domain and/or documents first-hand experience. In its draft evaluation and recommendation, the IPRC fully conveys its analysis of the personnel action under consideration. The draft IPRC report may include recommendations for improvement and growth to be supported within the resources of the college. When IPRC members disagree on interpretation of the evidence in the review file, their evaluation should reflect the disparate opinions. The candidate has access to draft report at the same time as faculty peer reviewers, i.e., when it is placed in ERF.

The IPRC consults with the associate dean/dean on the substance of a case Input from academic and student service professionals, if solicited by the IPRC, must be evidence-based and contextualized in the committee report.

The IPRC places its draft evaluation and recommendation in the review file no later than five working days before the faculty are to vote on the personnel action under consideration.

The candidate may respond to the draft IPRC recommendation in writing and place the response in the review file. Ideally, the candidate responds within this five-day period, so the response is available to department/school reviewers prior to the department/school faculty discussion.

Faculty Peer Reviewers' Discussion and Vote

Faculty peer reviewers should familiarize themselves with the contents of the review file before participating in the deliberations and voting on a case. Only eligible faculty peer reviewers who have participated in the initial peer review deliberations are eligible to vote on the personnel action under consideration.

To conduct a discussion of the personnel action under consideration, the department/school schedules meetings consistent with the personnel review calendar, while also allowing for sufficient time for the IPRC to incorporate the department/school faculty discussion into the final version of the IPRC evaluation. In order to protect confidentiality, a separate ballot is prepared for each candidate. At the conclusion of the discussion, the IPRC chair conducts a vote by secret ballot. Votes are tallied and results are announced at the end of the department/school faculty deliberations. In some circumstances, e.g., inclement weather, a faculty member who has participated in the faculty discussion via phone or video conference may submit an absentee ballot. Measures must be taken to assure that absentee ballots are secret and included in the vote tally taken at the department/school faculty meeting.

Ballots for all types of review provide those voting with the following options: yes, no, abstain. An abstention may be appropriate when a reviewer believes he/she has insufficient information or experience for an informed vote.

The IPRC makes revisions to the draft IPRC evaluation and recommendation, if any are needed, based on the department/school faculty discussion. Matters of substance that emerge during the discussion should be reflected in the final document.

Any material presented or read during the faculty discussion should be placed in the ERF, and if the department/school faculty vote is uneven or split, an explanation or contextual statement should be included in the final version of the evaluation.

At the end of the initial department/school review period, the draft IPRC evaluation and recommendation and response to the draft by the candidate are automatically deleted from the ERF. The IPRC chair places in the file the final IPRC evaluation and recommendation, as well as a tally of how many faculty attended the discussion and the number of votes in each of the ballot categories.

The candidate may submit a response to the final evaluation and recommendation if he/she wishes.

K. DEPARTMENT/SCHOOL LEVEL ADMINISTRATIVE REVIEW PROCEDURES

Associate Dean/Dean Responsibilities

In the School for Undergraduate Studies and the School of Nursing and Allied Health faculty report directly to a dean. In the School for Graduate Studies faculty report directly to an associate dean. Throughout these personnel review procedures, the term "associate dean/dean" is used to signify the supervisor to whom a faculty member reports directly.

In preparation for a candidate's reappointment, continuing appointment or promotion, the associate dean/dean provides the candidate with ongoing feedback prior to the evaluation. In addition to those informal assessments of the candidate's performance, the associate dean/dean is available to advise the candidate on faculty evaluation procedures, and on the development of the candidate's portfolio.

Like other reviewers, the associate dean/dean may submit unsolicited documentary evidence to the review file in accordance with the review calendar. As noted in Section H, the candidate may request correction or removal of such unsolicited documents. This evidence is distinct from the associate dean/dean's evaluation and recommendation, which the associate dean/dean places in the review file at a later point and to which the candidate may respond in writing.

Associate Dean/Dean Evaluation and Recommendation

Based on documentation in the review file and from the public domain and first-hand experience, the associate dean/dean prepares a written evaluation and recommendation on the personnel action(s) under consideration.

The associate dean's/dean's written evaluation and recommendation is an assessment of the candidate's performance, in relation to the relevant criteria and in the context of the candidate's appointment history and professional obligation. The written recommendation includes the associate dean's/dean's interpretation and evaluation of the candidate's performance in relation to the five criteria for review and relevant standards as articulated in Part III, Sections D, E, and F of this handbook; fiscal and programmatic considerations (see Section A — Principles); and any recommendations for improvement and advancement in the role of mentor. The recommendation does not simply paraphrase or extensively quote from the candidate's essay or the IPRC evaluation and recommendation.

Input to the associate dean/dean from academic and student service professionals must be evidence-based and contextualized in the associate dean's/dean's written evaluation and recommendation.

For candidates with less than 25 percent involvement in a setting outside the home department/school, the associate dean/dean may consult with and document input from the supervisor(s) for the other setting(s) in her/his evaluation and recommendation. For candidates on one or more assignment(s) of at least 25 percent outside the home center within the previous two years, the associate dean/dean is expected to consult with and document input from the other supervisor(s) in her/his evaluation and recommendation.

The candidate may respond to the associate dean's/dean's evaluation and recommendation in writing and place the response in the review file. Ideally, the candidate responds within a five-day period, so the response is available to all subsequent reviewers.

L. ACADEMIC PERSONNEL COMMITTEE (APC) PROCEDURES

Academic Personnel Committee Composition

The Academic Personnel Committee (APC) consists of one faculty member, preferably with tenure, elected from and by the faculty of each academic governance unit.

Those eligible to serve as a representative to APC are full-time faculty whose governance home is that academic governance unit.

APC members do not simultaneously serve on an IPRC. Candidates for reappointment, continuing appointment or promotion are not eligible to serve on APC during the year their personnel action is under consideration.

Academic Personnel Committee Responsibilities

The Academic Personnel Committee shall advise the president and provost in all decisions related to re-appointments, promotions, continuing appointments and sabbaticals for full-time faculty members. The APC convenes as peer representatives of the faculty across the college. Thus, it takes the interests of the faculty as a whole into account in its deliberations.

During their term(s) of service, members of the APC refrain from giving advice to individuals under review that may be construed as a conflict of interest, or that may compromise their primary obligation to maintain confidentiality.

APC has additional responsibilities, as outlined in Article 4 of the College Bylaws.

Peer-administrative Consultation at the College Level

The provost has the administrative responsibility to ensure that relevant policies and procedures are followed in college-level personnel reviews.

The APC and the provost consult one another on the substance of a candidate's review, including such elements as interpretation of SALE survey results.

At the start of each review cycle, the provost informs the APC of candidates scheduled for personnel review. The provost and APC chair lead a committee review and discussion of relevant personnel review policies and procedures contained in the Faculty Handbook. These procedures include the review criteria, general principles, roles and responsibilities, calendar deadlines, access to the review file, security and confidentiality, etc. During the review process, the APC and provost consult one another on these procedural matters. The APC also may consult with the SUNY Empire/UUP leadership.

Academic Personnel Committee Evaluation and Recommendation

The Academic Personnel Committee considers documents in the review file, information in the public domain and first-hand experience, and prepares a written evaluation and recommendation regarding the personnel action under consideration.

APC's evaluation and recommendation may bring forward points of emphasis regarding the candidate's performance in relation to the relevant criteria, discuss perceived disparities among documents and reports/recommendations in the review file, and/or make developmental suggestions to the candidate.

APC's evaluation and recommendation may range from a brief concurrence with lower-level recommendations to a fuller discussion. When offering a fuller discussion, the evaluation and recommendation should convey APC's analysis of the personnel action under consideration. When APC members disagree on interpretation of the evidence in the review file, their evaluation should reflect the disparate opinions.

APC procedures related to candidates for promotion are the same as for other reviews. A candidate may apply for reappointment or continuing appointment and for promotion during the same year. In these instances, APC deliberates on each request, and prepares a written evaluation and recommendation on each.

The candidate may respond to APC's evaluation and recommendation in writing and place the response in the review file. Ideally, the candidate responds within a five-day period, so the response is available to subsequent reviewers.

Participation by APC Members

APC expects its members to participate fully in consideration of a candidate. When an alternate member of APC participates in review of a case, the alternate completes that full review.

APC Ballots

APC ballots for reappointment and continuing appointment provide those voting with the following options: yes, no or abstain. An abstention is appropriate only in extraordinary circumstances, such as when there is a conflict of interest.

For promotions, the APC recommends for each case whether the promotion is "highly recommended," "recommended" or "not recommended."

A report of the number of votes in each of the ballot categories accompanies the APC recommendation.

APC does not use absentee ballots or allow proxy voting.

M. COLLEGE-LEVEL ADMINISTRATIVE REVIEW PROCEDURES

In compliance with Article 31.6c in the Agreement, the college president, or designee, shall notify the employee when and where the review file is available for examination. The candidate may then arrange with the college president or designee to examine and respond to the documents contained in the review file before it is reviewed by the president. The president's designee for this purpose is the provost.

The candidate's review period includes no less than five working days prior to the date in the review calendar when the file is to be received by the president.

President's Review and Decision

The president examines the candidate's full review file. Consistent with Article XI, Title A of the SUNY Policies, the president's decision is based in full or in part on the documents in the full review file, and the president may consider factors other than the candidate's performance.

The provost meets with the president to discuss her/his analysis of the candidate's review file, items in the public domain, first hand experience and relevant fiscal or programmatic issues.

The president makes the final decision and notifies the candidate, associate dean/dean and provost of the result. The president sends a letter of notification directly to the candidate on or prior to the notification date mandated by Article XI, Title D, Item 5 of the SUNY Policies and reflected in the college personnel review calendar.

In continuing appointment reviews, the president makes a recommendation to the chancellor of the State University of New York, and notifies the candidate in writing of this recommendation. The candidate receives subsequent notification of the chancellor's action. In the event of a decision not to recommend the candidate to the chancellor for continuing appointment, the president's letter informs the candidate of Article 33 of the UUP Agreement.

In matters of reappointment, the president's decision is not accompanied by supporting justifications or reasons. The operating principle, as stated in the SUNY Policies, is that a term appointment carries no presumption of additional appointment beyond that term, and that written notification of nonrenewal within the time requirements specified by the SUNY Policies fulfills the institution's responsibilities.

If the president does not recommend a candidate for continuing appointment, Article 33.3a of the UUP Agreement describes the circumstances when the president shall provide reasons for this action.

N. AMENDMENT PROCEDURE

Initiation

Amendments to the procedures for the evaluation of academic employees (faculty), contained as Section IV and Section VI, Part A in the SUNY Empire State College Faculty Handbook, may be initiated by the SUNY Empire president or designee, or by the UUP president or designee.

Procedure for Amendment

Procedures for faculty personnel evaluation are in effect for the academic year in which the Faculty Handbook is published and they remain in effect unless and until changes are agreed to. Substantive changes must be negotiated. Notice of a proposed amendment shall be presented at a regularly scheduled labor-management meeting. Labor and management agree upon one of the following approaches:

1. When the proposal involves relatively minor, technical changes, labor and management take up the proposal as part of regular labor-management meetings.

2. When the proposal involves relatively complex and/or substantive issues, the SUNY Empire president or designee, and the UUP president or designee appoint and establish a charge for a negotiating team. In this case, one member appointed to each team is not a participant in regularly scheduled labor management meetings. The teams decide on meeting schedules and locations for their deliberations. Negotiations and agreement on amendments by the teams should normally be completed within three months of the appointment of the teams.

Adoption

Adoption of amendments shall be by written agreement of the SUNY Empire president or designee, and by the UUP president or designee.

PART V. PROFESSIONAL DEVELOPMENT

At SUNY Empire State College, professional development has three meanings: first, the development of the individual as a mentor; second, engagement in scholarly and creative work; and, third, exploration of new directions and new professional competencies.

Professional development activities are an important aspect of professional life, which the college supports to the greatest extent possible. Among the college resources for professional development are reassignments, sabbaticals, faculty travel support, the annual All College Conference and Fall Academic Conference, workshops and training opportunities. Externally supported leaves (e.g., Fulbright Scholars) and external funding for travel and professional activities (e.g., through NYS-UUP Joint Committees) also are potential resources.

Continuous activity as a mentor or member of the academic staff is intellectually and emotionally demanding, and effective performance over long periods of time requires opportunities for professional growth and development through leaves and changes in assignments. Professional leaves, no appointment or reading periods, and changes in institutional responsibilities can be especially important means of helping mentors become better educators and sustain their professional competence and performance at high levels.

This section of the Faculty Handbook provides information on resources and procedures related to faculty professional development.

Overall responsibility for SUNY Empire faculty development initiatives rests with the Office of Academic Affairs (OAA). The provost oversees leaves and reassignments. Additional information about many of the items discussed below is available on or through the SUNY Empire website.

The faculty member's associate dean/dean needs to approve requests or applications for individual professional development support and opportunities. It is important to consult with the associate dean/dean well in advance regarding these opportunities. The annual report and plan, discussed in Part III, Section D, offers one vehicle for this kind of planning and guidance.

Applicant must post their applications for sabbaticals and reassignments in SARA (Sabbaticals and Re-assignment Database) by September 23. Consult Section F for deadlines for leave opportunities.

A. PROCEDURES FOR REVIEW OF FACULTY HOLDING CONTINUING APPOINTMENT

The associate dean/dean reviews each faculty member holding continuing appointment every three years. This developmental review consists of discussion between these two individuals and a review of the faculty member's work. Since the purpose is formative, the review provides an opportunity to reflect on strengths, satisfactions, challenges and new interests, and to identify ways to facilitate the individual's further professional development.

Decision Support gathers student input using the college SALE instrument (see Part IV, Section F) and provides a summary to the faculty member and associate dean/dean. The faculty member prepares a professional development plan. The associate dean/dean also may review academic documents and seek comments from individuals familiar with the faculty member's work. The associate dean/dean writes a report and makes it available to the faculty member, who can supplement it if he/she wishes.

The report is kept in the associate dean's/dean's file and a copy is forwarded to the provost. The report does not become part of the faculty member's official personnel file. Further, the report is not used in personnel actions (unless the faculty member chooses to include it in her/his portfolio for a subsequent personnel review).

B. PROFESSIONAL DEVELOPMENT PLAN

Creating a professional development plan for an extended period establishes an important foundation for continuing growth and for taking full advantage of professional development resources. A faculty member discusses professional development plans and needs with the associate dean/dean in the context of the annual report and plan discussed in Part IV, Section D, when preparing for personnel reviews or when seeking or responding to an opportunity for a shared assignment, etc. Colleagues within or outside the college also may provide important advice on professional development.

A faculty member prepares an explicit professional development plan as part of an application for a reassignment, sabbatical or other major development opportunity, as well as during a three-year review of tenured faculty. The faculty member develops the plan in consultation with the school associate dean/dean. Covering at least a two-year period, the plan articulates the individual's needs and plans in relation to mentoring, disciplinary or other professional goals and places these in the context of past accomplishments and the needs of the college.

C. SABBATICAL LEAVE

A sabbatical is a half-year (six-months) professional leave at full pay or a full-year (12-months) professional leave at half pay.

Eligibility for Sabbatical Leave

Faculty who hold continuing appointment and have completed at least six consecutive years of service at SUNY Empire are eligible to apply for an initial sabbatical leave. Normally, the college grants sabbaticals only to full-time faculty. A faculty member who has previously had a sabbatical leave at SUNY Empire is eligible for a subsequent sabbatical after six consecutive years of service since the date of return from the last sabbatical leave.

A sabbatical leave is not an automatic reward for years of service. A limited number of awards are made each year, based on the quality of the proposals and other college considerations.

Sabbatical Application Procedure

The calendar for sabbatical applications is presented in Section E. The application procedure is as follows:

- By July 1, the provost issues a list of eligible faculty and a call for sabbatical applications for the following academic year.
- The candidate consults her/his associate dean/dean about the proposed sabbatical and professional development plan and about potential leave dates.
- The candidate submits the application for sabbatical, including a professional development plan, to the SARA database and associate dean/dean for review and approval.
- The associate dean/dean posts her/his written analysis and recommendation (positive or negative), to the SARA database, with a copy to the candidate. If an associate dean/dean receives more than one sabbatical application, the recommendation to the provost clearly indicates the associate dean/dean's assessment of relative priority and the basis for that assessment, in the event that all proposals of merit cannot be supported with the resources available to the college.
- The APC reviews the proposals and recommendations, deliberates and makes a recommendation to the provost. APC expects the alternate representative to serve throughout its deliberations on sabbatical applications if the APC representative is applying for a sabbatical. The APC recommendation, based on a majority vote of the committee, indicates for each proposal whether it is "very highly recommended," "highly recommended," "recommended," or "not recommended," and may include written comments on the proposal.
- The provost makes recommendations to the president, who makes the final decision regarding sabbaticals. The president's decision is forwarded in writing to the faculty member with copies to the associate dean/dean and provost. The provost provides a summary of the results to the APC.
- The associate dean/dean establishes the final leave dates with the faculty member and notifies the provost, who arranges transfer of backfill funds as appropriate. Any special timing or format for the sabbatical to which the associate dean/dean and the faculty member may agree is subject to approval by the provost.
- The faculty member is responsible for following the steps outlined in Section G, Preparing for a Leave.
- For any proposal involving research on human subjects, award of the sabbatical is contingent on the faculty member securing Institutional Review Board (IRB) approval for the protection of human subjects. If the mentor does not secure IRB approval by July 1 during the academic year in which the sabbatical is to be taken, the provost may withdraw the award and select an alternate.

Sabbatical Application

A sabbatical application contains the following information:

- An outline of the specific program to be followed while on sabbatical leave (i.e., a description of the research, scholarly, creative or other professional development activities to be undertaken during the leave period and the expected results of the leave).

- The sabbatical application should be accompanied by a current CV and a professional development plan for the next two to five years. The professional development plan should state individual needs and goals, intended activities and expected contributions to the institution.

- A discussion of how the sabbatical leave supports the faculty member's longer-term professional development plan.

- If the program includes research involving human subjects, an application for review and approval by the Institutional Review Board for the protection of human subjects.

- A signed statement indicating that "I intend to continue as a member of the faculty upon my return for a minimum of one year and I further agree to submit a report of my accomplishments while on leave to the president, provost and associate dean/dean upon my return."

Criteria for Sabbatical Award

Criteria used by the Academic Personnel Committee and the college administration in reviewing sabbatical applications include the following:

- Overall quality, clarity and focus of the proposal.

- Although the proposal need not have explicit value to the college or society as a whole, proposed activities should have significant scientific, scholarly, educational, community service or creative value.

- Apparent readiness of the faculty member to carry out the proposal as demonstrated through a well-outlined plan. The applicant should be capable of completing the proposed activities and should present a plan that has a reasonable probability of leading to achievement of his/her goals.

- The sabbatical proposal should cohere with the applicant's ongoing plan for professional development, or provide compelling reasons for the divergence of sabbatical program and development plans.

Obligations of a Sabbatical Recipient

Article XIII, Title E, Section 5 of the Policies of the Board of Trustees of the State University of New York requires that "a sabbatical recipient submit a detailed report of professional activities and accomplishments while on sabbatical leave" be submitted to the president. The report is to be posted in the SARA database within one month from the end of the sabbatical leave.

Sabbatical applications worthy of consideration under these criteria often exceed the financial and personnel resources available to support such leaves. Although the quality of the proposal as outlined above is paramount, such resource issues, as well as performance issues, may be taken into consideration in the recommendations of the associate dean/dean and the provost, as well as in the decision of the president.

D. PROFESSIONAL DEVELOPMENT REASSIGNMENT

A professional development reassignment is either a partial release from teaching and mentoring responsibilities (a reduction of 25 percent for one year or the equivalent) or a professional leave with pay (for two months or the equivalent). Given student service considerations, the college has a strong preference for the partial release option.

Eligibility for Professional Development Reassignment

Full-time faculty on other than temporary appointments are eligible. In general, the earliest faculty apply is in the second year, for a reassignment in the third year. Individuals may be granted reassignments every third year. Reassignments are generally not granted in the year after a sabbatical leave. A person who applies but does not receive a reassignment is eligible to apply again in subsequent years.

Various activities might be undertaken during a professional reassignment. Some may reflect the individual's scholarly, professional or creative interests, and others may have direct application within college settings. Faculty may pursue college-related projects within the context of a single college setting, across settings or institution-wide, and should consult the appropriate administrator(s) regarding the feasibility and value of the project. Examples of possible reassignment activities include:

- Undertaking a special study or research; participating in workshops, seminars, courses, and other activities that will increase or broaden the range of professional competence, including competence within a discipline or across disciplines and teaching or administrative competence.
- Undertaking scholarly research, writing or creative activities.
- Developing model learning contracts, bibliographies or learning resources that speak to the needs of clusters of students in the school or to collegewide needs that have been identified by the Office of Academic Affairs or other college offices.
- Planning a series of residential workshops or conferences that might be undertaken by a particular school, location or collegewide; defining the purposes, identifying the resource persons, making arrangements for participation, and implementing the program.
- Devising and carrying out, singly or in cooperation with Decision Support or other college offices, a research project on teaching and learning problems at the school level, location level or collegewide.

Reassignment Application Procedure

The calendar for reassignment applications is presented in Section E. The application procedure is as follows:

- By July 1, the provost issues a call for reassignment applications for the following academic year.
- The candidate consults her/his associate dean/dean about the proposed reassignment project and professional development plan and about potential leave dates.
- The candidate submits the application for the professional reassignment and professional development plan to the SARA database and associate dean/dean for review and approval.
- The associate dean/dean posts her/his written analysis and recommendation (positive or negative), to the SARA database, with a copy to the candidate. If an associate dean/dean receives more than one reassignment application, the recommendation to the provost clearly indicates the associate dean/dean's assessment of relative priority and the basis for that assessment, in the event that all proposals of merit cannot be supported within the resources available to the college.
- The provost consults with the president and makes the final decision regarding professional development reassignments. The provost decision is forwarded in writing to the faculty member with a copy to the associate dean/dean.

- For any proposal involving research on human subjects, award of the reassignment is contingent on the faculty member securing Institutional Review Board (IRB) approval for the protection of human subjects. If the mentor does not secure IRB approval by July 1 during the academic year in which the reassignment is to be taken, the provost may withdraw the award and select an alternate.

- The associate dean/dean establishes release-time or leave arrangements with the faculty member and notifies the provost, who arranges transfer of backfill funds.

- The faculty member is responsible for following the steps outlined in Section G, Preparing for a Leave, which are relevant to the reassignment arrangements.

Reassignment Application

A reassignment application contains the following information:

- An outline of the specific program to be followed while on professional reassignment (i.e., a description of the research, scholarly, creative or other professional development activities to be undertaken during the leave period and the expected results of the leave).

- The reassignment application should be accompanied by a current CV and a professional development plan for the next two to five years. The professional development plan should state individual needs and goals, intended activities and expected contributions to the institution.

- A discussion of how the professional reassignment supports the faculty member's longer-term professional development plan.

- An application for review and approval by the Institutional Review Board for the protection of human subjects, if research will involve human subjects.

- A signed statement indicating that "I intend to continue as a member of the faculty upon my return, and I further agree to submit a report of my accomplishments while on reassignment to the associate dean/dean and provost on my return."

Reassignment Selection Criteria

Criteria used by the college administration in reviewing professional reassignment applications include the following:

- Amount and quality of the information provided.

- Apparent readiness of the faculty member to carry out the professional development activity, as demonstrated through a well-outlined plan.

- Clarity and focus of the proposal.

- Scientific, scholarly, educational, service or creative value of the program.

- Consistency with the applicant's longer-term plan for professional development.

The number of professional reassignment applications worthy of consideration under these criteria may exceed the financial and personnel resources available to support such leaves. Although the quality of the proposal as outlined above is paramount, such resource issues, as well as performance issues, may be taken into consideration in the recommendation of the associate dean/dean and the decision of the provost.

Reassignment to Other Roles in the College

The college also uses the term "reassignment" to refer to relatively long term (e.g., one or two years) assignments from the home setting to another college setting.

E. CALENDAR FOR SABBATICAL AND REASSIGNMENT APPLICATIONS

Sabbatical Calendar

July 1	Provost sends out call for proposals and list of eligible faculty.
July 2–Aug. 14	Candidate begins consultation with associate dean/dean. Associate dean/dean provides list of applicant names to the provost.
Aug. 15–Sept. 8	Academic Affairs posts names to the Sabbatical and Reassignment database (SARA)
Sept. 9–23	Candidate submits complete application to the SARA Database. A complete application includes a proposal, professional development plan and current CV.
	Applications must include a statement with the type of Sabbatical requested. Incomplete applications will not be considered.
Sept. 24–Oct. 7	Associate dean/dean recommendation due. Associate dean/dean posts recommendation to SARA database
Oct. 8–Nov. 1	Provost and APC have access to SARA database for review. APC recommendation due. APC recommendation due. APC chair posts recommendation to the SARA database
Nov. 2–17	Provost recommendation due to president.
By Dec. 1	President notifies candidate and associate dean/dean of outcome.
Dec. 2 and beyond	Application process is complete. Academic Affairs completes provost provides summary of outcomes to APC and Administration. Academic Affairs completes PAFs to initiate candidate Notification and Sabbatical implementation. Provost posts outcome letter to SARA Database. The application, associate dean/dean and provost retain access to the SARA Database.

Professional Development Reassignment Calendar

July 1	Provost sends out call for proposals.
July 2–Aug. 14	Candidate begins consultation with associate dean/dean. Associate dean/dean provides list of applicant names to the provost.
Aug. 15–Sept. 8	Academic Affairs posts names to the SARA database
Sept. 9–23	Candidate submits complete application to the SARA Database. A complete application includes a proposal, professional development plan and current CV.
	Applications must include a statement with the type of Reassignment and timeframe. Incomplete applications will not be considered.
Sept. 24–Oct. 7	Associate dean/dean recommendation due. Associate dean/dean places recommendation in the SARA database.
By Nov. 1	Provost notifies candidate and associate dean/dean of outcome.
Nov. 2 and beyond	Application process is complete. Provost posts outcome letter to SARA database. The applicant, associate dean/dean and provost retain access to the SARA database.

Calendar for Other Professional Development Opportunities*

July 1	Provost sends out call for proposals.
July 2	Candidate begins consultation with associate dean/dean.
Sept. 12	Candidate submits necessary materials to associate dean/dean.
Oct. 10	Associate dean/dean recommendation due to candidate and Office of Academic Affairs. Associate dean/dean forwards recommendation and candidate materials to the Office of Academic Affairs.
By Nov. 7	Appropriate person makes recommendation to provost and provost notifies candidate and associate dean/dean of outcome.

*Includes Center for Mentoring, Learning and Academic Innovation Reassignments and Faculty Associates, Imperatore Fellowship, and Scholars Across the College.

F. ADDITIONAL LEAVE, REASSIGNMENT, AND GRANT OPPORTUNITIES

There are several special leave or reassignment opportunities available to full-time faculty at the college, such as those described below.

On all cases, the faculty member is responsible for following the steps outlined in Section G, Preparing for a Leave, which are relevant to the leave or reassignment arrangements.

Imperatore Award

The Arthur Imperatore Community Forum Fellowship is an endowed fellowship through the SUNY Empire Foundation. The fellowship supports a major community-related research or artistic activity that culminates in a community forum, as well as other means of public and professional dissemination. The fellowship supports .70 faculty release time for one year and other project costs up to $10,000. $3,000 also will be available for community forum activities. A review committee of faculty and the vice provosts makes recommendations to the provost for selection of the recipient. The provost sends out information about this fellowship in June, along with information about other reassignments and leaves. Proposals for the award are due to the applicant's associate dean/dean by September 12 for the following academic year.

Adult Learning and Mentoring Reassignments

The Office of Academic Affairs sponsors annual reassignments for scholarship- or practice-oriented projects related to adult learning or teaching and mentoring. These reassignments are housed in the Center for Mentoring and Learning and Academic Innovation (CMLAI). Supervision is by the director of CMLAI. Final selection is made by the provost, on the recommendation of the director of CMLAI and the faculty reassignments working group of the CMLAI Advisory Board. The provost sends out information about these reassignments in June, along with information about other reassignments and leaves. Proposals are due to the applicant's associate dean/dean by September 12 for the following academic year.

Drescher Award

The Dr. Nuala McGann Drescher Affirmative Action/Diversity Leave Program is a NYS/UUP joint labor-management award that enhances employment opportunities for minorities, women, employees with disabilities and Vietnam-era veterans who are preparing for permanent or continuing appointments. The types of support available include:

- Payment of employee's regular salary by the campus
- Salary for a replacement
- Tuition and fees for course work
- Registration fees for conferences and workshops
- Course-related supplies
- Travel and related expenses for research or studies
- Research support (e.g., computer time, consumable supplies, clerical support, postage)
- Equipment lease or purchase.

Applications are due to the NYS/UUP Joint Labor Management Committee Office by the deadline published on the website. Complete information along with application forms is available at http://nysuup.lmc.ny.gov/diversity/drescher.html. Please contact the vice provosts several months before the due date for support in preparing your application.

Externally Supported Leaves

Faculty may secure external support for a professional leave. Because professional leaves have implications for teaching and mentoring and other professional obligations of the faculty member within the college, the faculty member must discuss a potential externally supported leave with the associate dean/dean prior to pursuing such an opportunity. The associate dean/dean makes a recommendation to the provost, who consults the president prior to approving a leave.

Susan H. Turben Chair in Mentoring

The Turben Chair was created to promote excellence in mentoring as the primary relationship between the college's adult students and faculty working together in person and online.

The chair is named in honor of Susan H. Turben, Ph.D., the second graduate of the college and an internationally recognized expert on families and child development, who has been a long-time supporter of the mentoring model and professional development for the college's faculty mentors. The chair is supported through an endowment from the Susan and John Turben Foundation.

G. PREPARING FOR A LEAVE

SUNY Empire is committed to the smooth transition from active mentoring to professional development or other professional faculty leaves, or departures from the institution, so that students continue to receive needed academic services. The following are steps to be taken by a faculty member to insure this smooth transition.

The faculty member consults with the associate dean/dean regarding the possible dates and duration of a leave, or the date of departure, at the earliest possible date. As soon as the specific date of departure is set, the faculty member meets with the associate dean/dean to establish timetables for bringing closure to mentoring and teaching responsibilities and providing a smooth transition for students. Well in advance of departure, the mentor is expected to consult with the associate dean/dean and:

- Establish a timetable for no longer accepting new students; identify any primary mentorees who need to be referred to new mentors; make new mentor assignments; and establish whether primary mentorees will return to the mentor when the leave ends.

- Notify in writing and plan for her/his absence with each student, including notice of when the student must complete outstanding work for the mentor's evaluation. Once students are provided sufficient notice of an impending leave, faculty are not obligated to provide direct assistance or evaluate student work during a leave, nor is the student entitled to have another faculty member provide such services during that period.

- Bring all possible academic documents (e.g., contracts evaluations, outcomes) to closure and annotate mentor records regarding any documentation that is not yet available.

- Consult with students' new mentors about student progress and plans, when relevant.

- Consult with the coordinator of student services about transitional services to students, if appropriate. At least one week before the leave the mentor meets with the associate dean/dean to review any anticipated student problems and any administrative issues.

- Establish a timetable for resuming responsibilities and rebuilding student load upon return from the leave. At least one month prior to returning from a leave, the faculty member consults the associate dean/dean again about the transition back to the college and steps to rebuild student load.

The associate dean/dean is responsible for ensuring that other school and college staff, as appropriate, are informed about such issues as new mentor assignments, leave dates, etc.

H. INDIVIDUAL PROFESSIONAL DEVELOPMENT AND TRAVEL SUPPORT

Engagement in external professional development opportunities is an important aspect of a faculty member's work life, which the college supports to the extent possible.

The vast majority of individual requests for professional development support are for conference travel. Examples of other possibilities include travel support for independent research at a national or regional archive or funds for supplies needed for artistic work.

The college encourages all full-time faculty to present at one conference or other external development opportunity annually. Part-time faculty also may request travel funds. Support is possible if the faculty member is a presenter or participant in a conference program or if the faculty member's attendance at a conference or workshop will enhance her/his effectiveness in carrying out faculty responsibilities.

To request support, the faculty member fills out the online Faculty Development Funding Application at www.esc.edu/escnet. The application is automatically forwarded to the associate dean/dean. If the associate dean/dean approves, it is forwarded to the vice president of administration for approval of out-of-state travel and/or over-the-per-diem costs. From there, the application comes to the Faculty Development Funding Committee for a final decision on the allocation.

The Faculty Development Funding Committee includes three faculty with two-year, staggered terms and the college professor for adult learning and mentoring. Members are appointed by the provost. Additional information about committee membership, award criteria, and past awards is available on the website.

On occasion, the Office of Academic Affairs or another college office may ask a faculty member or group to attend a meeting or conference on behalf of the college. In this case, the sponsoring office normally funds the travel expenses.

Business travel to school and college meetings is funded through college allocations to the relevant offices.

All travel requests and reimbursement vouchers must be approved by the immediate supervisor, regardless of source of funds, and submitted in accordance with college administrative procedures (see administrative procedures manual on the SUNY Empire website.) The college may not honor vouchers and receipts submitted more than 30 days after the event/expenditure.

NYS/United University Professions Joint Labor-Management Individual Development Awards

This program, sponsored by the State of New York/UUP Professional Development Committee, establishes a campus-based Individual Development Awards Fund (IDA) for SUNY employees in the UUP bargaining unit. The maximum individual award under this program is $1,000. If any information is available, it will be posted in Exchange (https://exchange.esc.edu/). A joint labor-management committee administers the awards. Full- and part-time faculty and professional employees are eligible for this award.

For application guidelines or information, contact the NYS/UUP Joint Labor-Management Committees office or see the website (www.uup.lmc.state.ny.us).

I. THE CENTER FOR MENTORING AND LEARNING AND ACADEMIC INNOVATION

The Center for Mentoring and Learning and Academic Innovation (CMLAI) grew out of more than a year of extensive discussions across the college about ways to champion faculty and professional development and to create new faculty and professional learning opportunities in tune with a changing SUNY Empire.

The Office of Academic Affairs created its predecessor, the Center for Mentoring and Learning, in 2008, building on the strong foundation established by the college's Mentoring Institute. The Mentoring Institute was founded in 1993 by a group of SUNY Empire faculty interested in consciously building a meaningful mentoring community. The original motto, "Mentors for Mentors," expressed the belief that mentoring is a distinctive professional practice that demands both attention and nurturing if it is to thrive.

In 1998, the Mentoring Institute became more directly connected to SUNY Empire's Office of Academic Affairs and gradually took on a number of institutional responsibilities concerning faculty development.

In 2008, to address the needs of increased numbers of new faculty and to support faculty and academic staff relative to several institutional initiatives, the provost moved the broad spectrum of faculty development responsibilities to a new entity: the Center for Mentoring and Learning. The director of the Mentoring Institute became the college professor for adult learning and mentoring with responsibilities focused more on faculty scholarship related to these issues and on building the connection between the internal academic work of the college and the broadest possible representation of this to the larger academy, and a director and staff were hired for the Center for Mentoring and Learning.

The mission of the Center for Mentoring and Learning and Academic Innovation (CMLAI) is to support the ongoing development of new and continuing SUNY Empire faculty in order to promote student learning through the mentor-student relationship and through engaged pedagogies. The center models such pedagogies in all of its programs, integrating new learning technologies where appropriate. Additionally, the center orients new full-time faculty and provides peer mentoring for them, while reaching out to part-time faculty in a comprehensive way.

The CMLAI supports the college's initiative to improve student retention and success by offering programming in key areas of mentoring, teaching and learning, including prior learning assessment (PLA), educational planning (EP), student academic skill development, and blended learning and by providing services, resources and opportunity for collaboration and collegial exchange in research and practice for all new and continuing faculty.

Working with a collegewide advisory board, the Center for Mentoring and Learning and Academic Innovation is charged with developing and offering the following faculty and professional development opportunities:

New Mentor Orientation for Full-time Faculty (0.5 and Above)
- Orient new full-time mentors through a program incorporating face-to-face, online and other collegial mentoring components.
- Address adult learning and mentoring theory and practice, mentor roles and responsibilities, educational planning, prior learning assessment (PLA), modes of study, mentoring across school, and college resources and systems.

Annual Professional Development for Full-time Faculty
- Provide development programs related to educational planning, prior learning assessment and assessing and developing student academic skills, for about one-third of the full-time faculty each year.

Workshops and Resources on Engaged Pedagogies

- Develop and provide workshops and resources on topics such as: pedagogies across modes of study, diversity and pedagogy, technology in teaching and learning, evaluating student work, creating assignments that develop academic skills, developing independent learning skills and preventing and responding to plagiarism.

Provide individual mentor support for enhancement of teaching and mentoring.

Part-time Faculty Development

- Develop and provide professional development programs and materials for adjunct and part-time faculty, including both orientation and ongoing support.

Collaboration and Exchange in Research and Practice

- Develop and maintain website devoted to mentoring, teaching and learning in order to support faculty dialogue and collaboration in research and practice and to share effective practice, models, resources and materials across the college.

J. COLLEGE PROFESSOR FOR ADULT LEARNING AND MENTORING

The role of the college professor of adult learning and mentoring (CPALM) is to acknowledge the central role of mentoring in student learning and in the life of SUNY Empire, by fostering and supporting scholarship related to mentoring and adult learning. Section I includes some historical information on this position. The CPALM promotes development of a growing body of theoretical and practical work about adult learning, and supports SUNY Empire faculty in reflection and dialogue to promote scholarship related to effective, energetic, and reflective educational practice.

With assistance from staff of the Center for Mentoring and Learning, the role of the CPALM is to provide on-going support for the following significant initiatives, programs or services:

Publications
- Publish All About Mentoring, an online and print journal focused on theory and practice in adult learning and mentoring, and on the scholarly work of colleagues around the college, twice per year.
- Create and disseminate other print and online materials relevant to the scholarship of adult learning and mentoring.
- Publish an annual "occasional paper" on a key theme or problem of adult learning and mentoring, that will complement an annual webinar focusing that topic
- Publish (twice per year) an online journal, PLA Inside-Out (PLAIO), co-edited by CPALM and the director of the center for leadership in credentialing learning, which focuses on the research, scholarship and practice of prior learning assessment.

External Connections and Presence of the College
- Sustain on-going connections between SUNY Empire and other organizations and institutions involved in the theory and practice of adult learning and mentoring, through such activities as promoting travel by individuals and groups to other institutions, inviting external submissions to All About Mentoring, the occasional paper and webinar series and through PLAIO, and recommending external speakers for college symposia and workshops.

Faculty Scholarship and Creative Activity
- Promote individual and collaborative research on adult learning and mentoring.
- Serve as consultant to individual faculty.
- Serve as chair of the Faculty Development Fund Committee.
- Provide guidance and support for international exchange or study opportunities (e.g., Fulbright Scholars).

Faculty Reassignments and Other Special Activities
- Sponsor the annual Scholars Across the College program, which is funded by the SUNY Empire State College Foundation. See Section K for more information.

K. SCHOLARS ACROSS THE COLLEGE PROGRAM

This program provides an opportunity each year for two faculty members to share their research and creative work with colleagues in various college settings. The award includes a stipend and travel support for presentations at centers and programs across the college, including at one of the college's international sites when possible.

The SUNY Empire State College Foundation provides funding for this program. The provost sends out information about how to apply on July 1, along with information about reassignments and leaves. Applications are due to the applicant's associate dean/dean by September 12, for the following academic year. The college professor of adult learning and mentoring makes a recommendation to the provost following consultation with a review panel.

L. ANNUAL COLLEGE MEETINGS

All College Conference

The annual All College Conference brings faculty, professional, support staff and administrators together for a conference designed to:

- Enhance professional development for all college staff.

- Build a sense of community within the college.

- Inspire re-dedication to the college's mission and values related to providing innovative, high quality services to adult learners.

- Support necessary governance and other institutional business.

The conference is coordinated by the Office of the President, with advice from the All College Planning Committee.

Fall Academic Conference

The annual Fall Academic Conference brings faculty and other academic staff (professionals and administrators) together for a conference, which has goals similar to those outlined for the All College Conference but is focused more exclusively on academic concerns. In addition to featured speakers, workshops and presentations, the meeting is an opportunity for academic staff to meet within their academic schools/divisions/departments and with other affinity groups.

The meeting is coordinated by the Office of Academic Affairs, with advice from the Fall Academic Conference Planning Committee.

M. STATE UNIVERSITY OF NEW YORK FACULTY DEVELOPMENT OPPORTUNITIES RELATED TO TECHNOLOGY

- **SUNY Center for Professional Development (CPD)** is a collaborative central resource for the SUNY Community providing access to high quality professional development opportunities focused on the latest trends and established best practices in higher education to enhance the capability of SUNY faculty and staff and increase SUNY's competitive advantage. The CPD will provide a full complement of professional development programs, training and services to key target audiences on its member campuses and across the SUNY community. http://www.suny.edu/sunyTrainingCenter/index.cfm

- **SUNY Conference on Instructional Technologies (CIT)** — This conference provides a forum for faculty and instructional support professionals to share experiences and expertise. The conference is sponsored by the SUNY FACT initiative (Faculty Access to Computing Technology) and held each spring on a different SUNY campus. Information on this conference can be found on the web at cit.suny.edu.

- **Open SUNY Center for Online Teaching Excellence (COTE)** — COTE's aim is to ensure all members have opportunities to continue developing and improving their knowledge, practices, and expertise in the areas of online teaching and learning that resonate most with them. Offerings are tailored to support all SUNY faculty and staff, ranging from those curious about online education to those looking to develop specialized skills.

- **SUNY Center for Collaborative Online International Learning (COIL)** — COIL developed from the efforts of a group of SUNY faculty innovators who were each exploring ways to bring international students into their classrooms using technology. COIL's annual conference brings together faculty, international programs staff, instructional technology staff, and university and college administrators to share experiences and innovative Globally Networked Learning (GNL) models and best practices. Information on this conference can be found on the web at coil.suny.edu.

N. ADDITIONAL PROFESSIONAL DEVELOPMENT RESOURCES

Faculty Reading/No Appointment Periods

The college designates a faculty reading period (four weeks from mid-July into August) and three weeks during the holiday season as "no appointment periods" during which faculty do not work directly with students. These periods can provide important opportunities for professional development. Faculty use no appointment periods to complete documentation of student work, as well as to further their own professional development by engaging in service, creative and scholarly activities. As noted in Part II, these are periods of shifted professional responsibility rather than vacation periods.

Faculty Reassignments to Other SUNY Empire State College Settings

A reassignment to another SUNY Empire setting can provide a rich professional development opportunity. Although variations are possible, reassignments are usually available on a .25 or greater basis for one or two years.

Plans for a reassignment must be arranged through and approved by the relevant associate dean/deans, and the provost. Reassignment opportunities depend on the match between individual's expertise and potential and the needs of the settings involved.

National/International Opportunities

Faculty interested in a teaching exchange or international study opportunity (e.g., through the Fulbright Scholars Program) should discuss their plans with their associate dean/dean. Assistance in preparing applications is available from the associate dean/dean, CPALM, and the Office of Grants and Contracts.

External Employment and Extra Service

External consulting, teaching, professional practice or extra service can provide important professional development opportunities for faculty.

Such opportunities are governed by NYS regulations (State of New York Official Compilation of Codes, Rules and Regulations, Title 9, Volume A, Subtitle C, Parts 135 and 136, and as interpreted by SUNY in an official memorandum on extra service dated December 23, 1986).

Extra service assignments within SUNY Empire or with another state agency (e.g., another SUNY college) are established through the UP-8 form (Request for Approval of Extra Service for UUP (BU-08) Employees), and must have appropriate administrative approvals.

In accordance with state regulations, the college may not offer extra service appointments to part-time faculty or professional staff. All assignments must be incorporated into the individual's responsibilities within the existing appointment or the appointment must be modified to incorporate any added assignment.

A full-time faculty member may earn no more than 20 percent beyond her/his base full-time salary through such extra service assignments.

In terms of other external employment that is not with another state agency, the outside activity may not impede the faculty member's performance of her/his SUNY Empire duties.

Grants/Applications for Outside Funding Support

Help with funding-source searches and grant preparation is available through the Office of Sponsored Programs within the Office of Academic Affairs. Faculty may request help at any time, but those interested in projects that might require leave time or flexibility in school or program schedules should first consult with the associate dean/dean.

For applications which require institutional sponsorship (e.g., NYS/UUP faculty awards, federal, state and private agency grants), final drafts of application forms and proposals must be reviewed and approved by the associate dean/dean and submitted to the Office of Academic Affairs no later than two weeks prior to the application due date.

If the proposal results in an award, the Office of Administration assists in monitoring each grant. A full copy of the policies and procedures can be found in the SUNY Empire Policies and Procedures manual in the Grants Administration Policy section.

Faculty Tuition Support

The NYS policy for tuition for SUNY employees waives tuition (but not fees) for courses taken at SUNY campuses. The amount covered depends on the employee's status, how the course relates to the employee's current or future position, and how the employee's educational experience will benefit SUNY. Waivers for up to 100 percent are possible when the course is part of a program for improved employee performance.

Faculty may enroll tuition-free at SUNY campuses where UUP exists, on a space available basis and when funding is available. For further information, contact the registrar at the campus where you plan to enroll.

O. AWARDS AND RECOGNITION

SUNY Empire State College Foundation Awards for Excellence

These six annual awards recognize the achievements of faculty and staff by honoring excellence in full-time mentoring, part-time mentoring, scholarship (the endowed Susan H. Turben Award), two for professional service (for professional employees), and support services (for support staff). Recipients are nominated by colleagues or others in the college and selections are made by a committee of previous honorees. Recipients are typically identified at the awards banquet during the annual All College Conference and receive a plaque and a significant honorarium.

Altes Prize for Exemplary Community Service

The Altes Prize provides $2,500 to a faculty member who brings to bear her/his particular academic expertise in addressing community needs and problems. Community service, in this award, is defined in the broadest way possible and may, for example, include activities in the arts, science, business and labor, and disciplinary and professional practice, as well as human services. The recipient of the Altes Prize receives an award of $2,500 to be used without restriction. The recipient's school or program receives up to $2,000 to defray expenses of a community open house or other appropriate public event honoring the recipient. Calls for nominations come from the Office of Advancement.

James W. and Mary Elizabeth Hall Award

The Hall Award for Innovation is given periodically to a college employee who creates, or puts into effect, an innovation that advances SUNY Empire's mission and thereby benefits the students we serve. By its nature, innovation cannot be easily defined. However, examples of areas for innovation might include new academic programs for new audiences; the adaptation or improvement of an existing academic program for expanded audiences; new academic delivery models; changes in processes that may include financial aid, billing, admissions, the college bookstore or print shop and others; changes in school practices in areas such as, information sessions; orientations or assessment; new or expanded innovations in technology to support students' learning and research; and many others that can only be defined by the innovation itself. The Hall Award for Innovation consists of a citation and a cash prize of $2,000. The recipient(s) are usually announced at the annual awards dinner of the All College Conference in March.

PART VI. PART-TIME FACULTY

A. PART-TIME FACULTY

Part-time Faculty Appointments

During the initial appointment, SUNY Empire normally places part-time academic employees (faculty) on full-year temporary appointments. To the extent possible, part-time faculty appointments follow a September 1 to August 31 calendar. After four consecutive semesters on temporary appointment, a part-time faculty member must be placed on a term appointment. The associate dean/dean provides part-time faculty with information on department/school expectations, orientation, and training.

Management has the right to determine the duties and responsibilities of each faculty member. At the time of initial hiring, the part-time faculty member must receive a written description of her/his assigned professional obligation, in keeping with Article 30.4 of the Agreement. Eligibility of part-time faculty for employee benefits is defined in Articles 23 and 39, among others, of the Agreement. Questions regarding benefit eligibility should be referred to SUNY Empire's Office of Human Resources.

The associate dean/dean assigns responsibilities to a part-time faculty member that are appropriate to her/his appointment. The associate dean/dean completes the necessary appointment forms and forwards them to the Office of Human Resources. The Office of Human Resources circulates the forms for required signatures and then generates an appointment letter (accompanied by any attachments regarding responsibilities, benefits, etc.). The provost signs the appointment letter and the Office of Human Resources sends it to the appointee with a copy to the associate dean/dean.

Documenting Changes in Part-time Faculty Appointments

When a part-time faculty member's assignment changes from the assignment listed in the appointment letter, management documents the change in writing. Should the associate dean/dean and the faculty member agree to changes in the employee's assignment, the associate dean/dean completes the necessary appointment change forms and forwards them to the Office of Human Resources. The OHR circulates the forms for required signatures and generates a new appointment letter, accompanied by any attachments regarding responsibilities, benefits, etc. The provost signs the appointment letter, and the Office of Human Resources sends it to the appointee with a copy to the associate dean/dean. This document supersedes any previous letter of appointment.

Rank and Title of Part-time Academic Employees

Part-time faculty hold qualified academic rank (QAR) appropriate to their qualifications. Individuals who hold qualified academic rank have the title of lecturer or an academic title preceded by "visiting." See discussion of qualifications in Part III.

Service in qualified academic rank does not count as service credit toward continuing appointment.

Peer Review of Part-time Faculty

- Eligibility

At least once every three years, Initial Peer Review Committees (IPRC) review any part-time faculty members who are on line appointments of half-time or more and serve as primary mentors at SUNY Empire.

The college level Academic Personnel Committee (APC) does not play a role in part-time faculty reviews.
   • Procedures

Part-time faculty who are undergoing peer review should consult and follow the procedures contained in Sections E through K in Part IV of this handbook.

Additionally, part-time candidates for review should include in their self-reports a description of their assigned duties and responsibilities. It also is recommended that part-time candidates place a copy of their responsibilities form for the relevant time period into their electronic review file.

Criteria for Review of Part-time Faculty

Insofar as they are relevant to assignments, the criteria listed in Article XII, Title A, section 4 of the SUNY Policies are the basis for review of part-time faculty. Application of these criteria takes into account the extent and nature of the faculty member's assigned duties and responsibilities as documented in the candidate's part-time faculty responsibilities form. Peer reviewers should be cognizant that the assigned duties and responsibilities of individual part-time faculty may differ in relation to the criteria listed in the SUNY Policies.

Reappointment is a function of performance, resource availability and continued need for the academic employee's services.

Department/School-level Administrative Review of Part-time Faculty

For part-time faculty who are not scheduled for a peer review, the associate dean/dean makes an administrative evaluation and recommendation regarding renewal or nonrenewal of the appointment.

For part-time faculty who are scheduled for a peer review, the associate dean/dean reviews the materials in the candidate's review file. The associate dean/dean prepares a written evaluation and recommendation regarding renewal or nonrenewal of the appointment.

The associate dean's/dean's recommendation, along with an appointment form reflecting her/his recommendation on reappointment, are due to the provost by June 1 for appointments that end on August 31. The associate dean/dean provides a copy to the candidate.

College-level Administrative Review Procedure

Acting as the president's designee, the provost makes the final decision on renewal or nonrenewal of a part-time faculty reappointment.

The provost may review the candidate's full review file. Consistent with Article XI, Title A of the SUNY Policies, the provost's decision is based in full or in part on the documents in the full review file, and the provost may consider factors other than the candidate's performance.

The provost signifies her/his approval or modification of the associate dean's/dean's recommendation on the personnel action form which is routed in Interview Exchange for review and appropriate approvals. The Office of Human Resources prepares the correspondence for signatures in Academic Affairs and coordinates mailing to the appointee with a copy to the supervisor.

Calendar for Part-time Faculty Who Are Undergoing Peer Review for Reappointment

Stage	Dates	Summary of Actions
	Dec. 1–14	o Associate dean/dean provides provost with names of candidates up for review.
1	Dec. 15–Jan. 4	o Provost/Office of Academic Affairs (OAA) provides names of candidates under review to associate deans/deans, candidates, IPRC chairs and Decision Support.
2	Jan. 5–15	o OAA creates electronic review file (ERF) for each candidate. o Decision Support oversees Student Assessment of Learning Experiences (SALE) survey for each candidate. o Candidate provides contact information to associate dean/dean and IPRC chair for solicited letters (if any).
3	Jan. 16–Feb. 2	o OAA places documents from last two personnel reviews in ERF. o OAA places candidate's employment chronology (shared appointments, reassignments, leaves since initial appointment) in ERF. o IPRC chair and associate dean/dean solicit letters (if any) based on candidate list.
4	Feb. 3–16	o ERF is available for candidate and associate dean/dean review. o The candidate and/or associate dean/dean have until Feb. 16 to email to the provost a request for, if applicable, correction of prior review documents or the employment chronology. The provost makes appropriate corrections, if any, to these documents.
5	Feb. 17–March 16	o Period for placement of relevant evidence in ERF: o Decision Support submits SALE survey results. o Individual peer or administrative reviewers submit documents (Add Relevant Evidence). o IPRC chair submits solicited letters, if any (some letters may be viewed by candidate and some may not).
6*	March 17–23	o The candidate has five working days after March 16 to request that an item of relevant evidence (other than the employment chronology or past review documents), if applicable, be corrected or removed. The candidate sends an email request to the associate VP for human resources.
7*	March 17–April 1	o Candidate places her/his self-report and CV in ERF, along with any attachments or links to supplementary materials. (Additional supplementary materials may be submitted to the associate dean's/dean's office.)
8	April 2–June 1 By May 1 By June 1 After June 1	o Peer reviewers, associate dean/dean, and provost have read-only access to ERF, except the provost does not have access to the draft IPRC evaluation or candidate's response to draft. o IPRC chair places the draft IPRC evaluation and recommendation in ERF. o IPRC chair places the faculty peer reviewers vote and final IPRC evaluation and recommendation in ERF. o Associate dean/dean places her/his evaluation and recommendation in ERF. o Provost has access to ERF.
		o Access to the draft IPRC evaluation and any response is revoked, and the documents will be automatically deleted after a short waiting period.
Optional — The candidate may respond, preferably within five working days, to any of the preceding department/school-level actions. The candidate places her/his response, if any, in the ERF.		
9 10	July 15 July 16 forward	o Provost's notice of personnel outcome due to candidate, associate dean/dean and president. o Review file is closed. The candidate for review, associate dean/dean, department chair and provost retain access to the Electronic Review File after the conclusion of a review.

Notice Requirements

Part-time faculty on term appointment are entitled to 45 calendar days written notice of nonrenewal prior to the end of their current term appointment, in keeping with Article XI, Title D, Section 5 of the Policies.

Temporary appointments may be terminated at any time. Therefore, the college is not required to notify a part-time faculty member that her/his temporary appointment will not be renewed.

B. ADJUNCT FACULTY

SUNY Empire uses the term "adjunct faculty" to refer to individuals with limited roles as tutors, evaluators, course instructors, study group leaders, M.A. project readers, etc.

Adjunct faculty fill specific instructional needs of department/school and programs. They may be drawn from other academic institutions, industry, labor, government, community service agencies, the professions, business, and the arts. Adjunct faculty do not hold academic rank nor does employment as an adjunct count toward continuing appointment.

Qualifications

Adjunct faculty must hold a master's degree or other terminal degree in a relevant field. In exceptional cases, a bachelor's degree and evidence of outstanding professional achievement and expertise may be accepted by the appropriate dean as equivalent.

Appointment Procedures

All adjunct faculty are appointed by the associate dean/dean or designee. Adjunct faculty are usually identified or nominated by a mentor who may consult with the student, colleagues, professional associations, college and university departments or agencies.

Appointment arrangements and related paperwork should be completed prior to the individual beginning an assignment.

A resume must be on file in the department/school office for an adjunct appointment to be made.

Compensation

Tutors and adjuncts may be retained with or without compensation. They may forgo compensation because their conditions of employment elsewhere require it, because of a cooperative agreement between the college and their regular employer or because they volunteer their services. Those who do not receive compensation are expected to meet the same qualifications as those who do.

Final payment for adjunct services is made when the dean, dean's designee or mentor judges that the adjunct faculty member has completed her/his obligations. Partial payment may be made prior to completion of the assignment; in many cases, payment is ongoing via standard payroll.

Types of Appointment

Initial appointments for adjunct faculty are normally temporary appointments. Temporary appointments may be terminated at any time.

Adjunct faculty who are represented by the Professional Services Negotiating Unit and who have been employed at the college on a part-time basis for six consecutive semesters are placed on **term** appointment. Adjunct faculty on term appointment are entitled to 45 days notice of nonreappointment.

Status of Adjunct Faculty

In spring 2003, the college reached an agreement with UUP clarifying the status of SUNY Empire adjunct faculty in terms of membership in the Professional Services Negotiating Unit and related issues.

The agreement means that "adjunct faculty" (i.e., tutors, evaluators, study group leaders, course instructors, M.A. project readers) are considered part of the bargaining unit under either of the following circumstances:

1. The adjunct performs, or is expected to perform, **any group instructional assignment** within a fiscal year (July 1 to June 30). For this purpose, a group must enroll six or more students.

2. The adjunct performs, or is expected to perform, **any combination of six or more individual evaluations or individual tutorials** within a fiscal year (July 1 to June 30). Students in study groups with five or fewer students count as individual assignments.

The number of students being served by an adjunct faculty member **during the fiscal year** determines whether the adjunct is treated as an "independent contractor" (IRS term) and paid via standard voucher or whether the person is placed on payroll status and treated as a member of the Professional Services Negotiating Unit. The number of students served is **aggregated across programs or department/school.** When there is a question about employee status, the college normally places the individual on the payroll.

The threshold is serving five or fewer students over the course of the fiscal year. Adjuncts who serve five or fewer students may be paid via standard voucher. Adjuncts who serve six or more students during a fiscal year are placed on payroll status.

Membership in the Professional Services Negotiating Unit means the adjunct faculty member is eligible for across the board pay increases and leave accruals that may be provided for in the UUP Agreement and SUNY Policies.

The college also specified that for the sole purpose of certain contractual benefits, SUNY Empire group instructional assignments with six or more students are comparable to "courses." A person teaching two or more courses simultaneously is eligible for health benefits as provided in the SUNY Policies.

APPENDICES

APPENDIX 1

SOLICITED LETTER CONSENT FORM

_____   Date_____
(Name/address of person solicited for recommendation)

_____

_____

Dear _____:

_____ is currently undergoing a personnel review at the
(Name of candidate)

_____ of SUNY Empire State College
(Name of department)

Your name has been given to us by _____
                                                          (Name of candidate)

as someone who can speak to the quality of (her/his) performance as you know and have observed it.

At SUNY, faculty professional responsibilities include teaching, research and University service. The evaluative criteria that apply to these responsibilities include:
  (a)   Mastery of subject matter
  (b)   Effectiveness in teaching
  (c)   Scholarly ability
  (d)   Effectiveness of University service
  (e)   Continuing growth

We would appreciate a letter from you commenting on the quality of _____
                                                                                              (Name of candidate)'s

performance with regard to one or more of the review criteria. We ask that you submit your letter by

_____, along with the original copy of this letter signed by you and indicating
(Date)

your responses to the questions below. If you prefer, you may email a copy of this form and your letter to Personnel.Reviews@esc.edu.

Thank you for your assistance.

_____   _____
Chair, Initial Peer Review Committee   Associate dean/dean

_____   _____
Department   School

I agree that:

1. The candidate may read this recommendation.   ☐ Yes   ☐ No

2. The candidate may read this recommendation if all identification as to its source is deleted.   ☐ Yes   ☐ No

3. The candidate may reuse this recommendation in their subsequent review.   ☐ Yes   ☐ No

Signature_____   Date_____

Print name _____

APPENDIX 2

FULL-TIME FACULTY ANNUAL REPORT AND PLAN
FOR THE PERIOD JULY 1 _____ THROUGH JUNE 30 _____ *

Name _____   Date _____

Location_____

The SUNY Policies identify three areas of professional obligation for faculty: teaching, research and service. (Though related, these are distinct from the five criteria for faculty review outlined in the SUNY Policies.) The SUNY Empire State College Faculty Handbook provides additional information on faculty roles and the professional obligation at SUNY Empire. Within these contexts, individual faculty activities and plans may vary in type and extent from year to year, and from faculty member to faculty member, and individual plans may change during the year as new needs and opportunities arise.

Annual Report

The following is an annual report of your activities during the past year. Please check the items that applied to you in your academic and professional roles and responsibilities with the college as a full-time faculty member during the reporting period. Please feel free to add further details in relation to any of your activities over the year.

I.   Mentoring and Teaching Activities

A.   Serving as a primary mentor
_____   Mentoring undergraduate students in educational planning (including PLA)
_____   Advising graduate students in _____ program(s)
_____   Arranging learning opportunities and enrollments for undergraduate mentees
_____   Arranging learning opportunities and enrollments for graduate advisees
_____   Follow up on PLA requests, degree portfolio review and graduation review for
          undergraduate mentees
_____   Advising prospective students about SUNY Empire degrees
_____   Serving as a degree planning consultant in your field for students working with other mentors
_____   Other − Please specify _____

* Or specify alternative period — must be submitted at least annually.

B.   Teaching
_____   Teaching independent studies
_____   Teaching study group(s)
_____   Teaching residency-based study(ies)
_____   Thematic (e.g., women's studies residency)
_____   Programmatic (e.g., SGS, IE)
_____   Teaching online learning course(s)
_____   Teaching classroom-based course(s) (e.g., HVASLS)
_____   Teaching blended learning experiences
_____   Teaching students from other locations/departments/schools ("cross-center mentoring")
_____   Teaching undergraduate students
_____   Teaching graduate students
_____   First reader for M.A. project
_____   Second reader for M.A. project

Please indicate the main topics or areas of study in which you have provided instruction:

_____
_____
_____

C. **Developing and Managing Learning Resources**
____ Developing or revising online learning courses
____ Developing or revising other studies (e.g., new study group)
____ Initiating periodic curricular review of online courses and coordinating new course development, regular updating of existing courses and retirement of obsolete courses
____ Training and/or supervising course/study instructors in a curricular area
____ Developing technology-mediated courses or academic resources
____ Developing new areas of academic expertise: _____
____ Identifying and securing resources needed in contract learning
____ Locating and working with other faculty across the college
____ Locating and working with tutors/adjuncts
____ Locating and developing academic resources within the community
____ Determining appropriate sites and establishing arrangements for cross-registration
____ Other — Please describe _____
_____

D. **Other Mentoring Responsibilities**
____ Conducting individual prior learning assessments
____ Presenting student information sessions
____ Participating in new student orientations
____ Public relations activities within the larger community
____ Other — Please describe _____
_____

II. **Scholarly Activities**

Please check all areas in which you have engaged in activity during the reporting period and attach a list that gives details of each activity (e.g., article title and citation, etc., brief description of sabbatical activities).
____ Research projects
____ Artistic/creative projects
____ Exhibit/performance of artistic work
____ Publication of book, article, chapter, creative writing, etc.
____ Attendance at conferences/professional meetings (on teaching and learning, in your discipline, etc.)
____ Presentation of work at conferences/professional meetings
____ Conference planning, development and/or organization
____ Officer/leadership role in professional organization
____ Sabbatical leave
____ College professional development reassignment
____ Mentoring Institute reassignment
____ Imperatore Award
____ Scholars Across the College recipient
____ Other — Please describe _____
_____

III. Institutional Service

A. Location Activities

_____ Faculty chair
_____ Unit coordinator
_____ Committee service   Check here if chair:
_____ Initial Peer Review Committee (IPRC)   _____
_____ Academic review/quality committee   _____
_____ Center assessment committee   _____
_____ Center planning committee   _____
_____ Faculty development committee   _____
_____ Search committee   _____
_____ Other — Please specify _____   _____
_____ Student support activities
_____ Alumni student association liaison
_____ Other — Please specify _____
_____ Presentation(s) at center meetings/programs
_____ Other — Please specify _____

B. College-level activities   Check here if chair/convener:

_____ College Senate   _____
_____ College governance committee   _____
_____ Collegewide task force   _____
_____ Area of study   _____
_____ Search committee   _____
_____ Mentoring Institute Advisory Board
_____ Other — Please specify _____
_____

C. Program Development Activities

_____ Participation in the development of new program initiatives (e.g., programs for special populations, new degrees)
_____ Other program development activities — Please specify_____
_____

D. Application of professional/disciplinary expertise to community service activities
Please specify _____
_____

E. Other Service and Professional Contributions

_____ SUNY Senate — Senator or Standing Committee Member
_____ UUP Executive Committee
_____ Other service to higher education. Please specify _____
_____
_____ Other service — Please specify _____
_____

Please articulate your plans for the coming year as discussed with your center dean. Plans should address the three major areas of responsibility surveyed above:

- Teaching and mentoring
- Scholarly activities
- Institutional service

Please be brief, stating your plans in a narrative of about 250 to 300 words or in outline format, and highlighting planned departures from your recent patterns of activity.

APPENDIX 3

DEPARTMENT CHAIRS

The role of department chair at SUNY Empire is one of academic, administrative and curricular guidance within a particular academic unit. Department chairs are leaders within their respective departments, and within the college as a whole. They are expected to be available as needed, an expectation that extends to reading period and other times designated as faculty no-appointment period.

Responsibilities

Academic program quality and assessment. Promotes student learning and academic success through the quality of the academic curriculum; collaborates with associate dean/dean and faculty in new program development; and is involved in established assessment processes and curricular reviews. The following are specific expectations and duties for department chairs:

1. Review learning contracts for completeness and compliance with the college's Learning Contract Policy; identify learning contracts that require follow-up and work with associate dean to identify professional development opportunities on learning design.
2. Serve as peer mentor to department faculty and adjuncts to assist them in accessing teaching and mentoring resources.
3. Coordinate curriculum mapping or other alignment approaches within their department and work with the chair of the curriculum committee in course development.
4. Collaborate with the dean and director of outcomes assessment on shared responsibilities for outcomes assessment activities that engage faculty in assessment activities such as; develop and review systematic programmatic assessment processes; closing the loop activities; document assessment activities for the department; implement and assess curriculum changes based upon assessment activities; and participate in writing the annual report on assessment activities.
5. Coordinate guidelines revision in their aligned areas of study or department.
6. Examine and make recommendations for transfer evaluation credits from other colleges and universities.
7. Collaborate with relevant faculty, OAA program offices, the Office of Decision Support, governance and the dean on new program development. Chairs need not necessarily be on a program development team; the main duty of the chair is to facilitate progress on academic components of new or revised program proposals and reviews.
8. Be available and/or be prepared to delegate qualified colleagues for consultation with potential college partners in cases where academic consultation is required.
9. Serve as a resource for members of their department, school and collegewide in academic matters related to their department.
10. Be responsible for the academic content of department web resources.

Department Governance processes. Sets agenda and chairs department meetings, provides leadership and refers tasks and projects to faculty committees; identifies linkages among college and department governance issues. The following are specific expectations and duties for department chairs:

1. Convene and chair department meetings.
2. Attend and chair department meetings at the Fall Academic Conference and the All College conference.
3. Meet regularly with the dean to establish effective processes and systems to support departmental governance and serve as a regular channel of communication between the faculty, associate department chairs and dean.
4. Represent department at collegewide meetings.

Departmental academic planning. Develops the course/section schedule in various modes, in collaboration with associate department chairs; identifies instructional needs; reviews qualifications of prospective adjuncts and makes hiring recommendations to the dean. The following are specific expectations and duties for department chairs:

1. Examine enrollments in consultation with dean across courses, modalities, departments, concentrations; in order to provide maximum opportunities for students.
2. Create and maintain course schedule for faculty and adjuncts, in collaboration with associate department chairs, operations coordinators, and dean.

Advocacy for faculty. Advocates for faculty issues, maintains contact with other departments and programs, and participates in collegewide meetings as appropriate. Department chairs will be a point of contact with functional offices (i.e., Office of the Registrar, SIC, DARs, CMLAI, etc.) and facilitate clear communication between departments and administrators on key issues. The following are specific expectations and duties for department chairs:

1. Attend quarterly All Chairs meetings and work with their peers on items of mutual concern between scheduled meetings.
2. Advocate for faculty to the department, school, dean and collegewide.
3. Work with other college offices in consultation with dean to identify and facilitate professional development opportunities that support academic quality and/or the needs of their departments.
4. Work collaboratively with dean to develop and maintain accurate information and resources on the department websites, SharePoint sites and other web-based assets.

Additional Duties. Chairs shall meet with their dean at the beginning of each academic year to jointly establish department level goals. Chairs also shall meet with their dean periodically throughout the year and at the end of the academic year to review progress towards these goals and share information. Chairs shall actively support and facilitate the work of the associate department chairs. Dean and department chairs will work collaboratively to develop and carry out strategic planning for the department and division on a continual basis. And to begin a conversation regarding the department goals for the following academic year.

Department Chair Eligibility and Appointment Procedures

The department chair is an experienced full-time faculty member who has demonstrated the potential for academic leadership and organizational effectiveness. Department chairs must have at least five years full-time tenure track experience, one of which may have been at an institution other than SUNY Empire. The appointment is for a two-year term (renewable twice). The department chair designation is in addition to the faculty member's academic rank.

The department chair is appointed by the college chief administrative officer, following nomination by department faculty and after consultation with the associate dean and provost.

Consistent with Article IX of the Policies of the Board of Trustees of the State University of New York, a department chair may be relieved of chair responsibilities by the college chief administrative officer. In cases where a chair is relieved of such responsibilities, he or she "shall retain such rights and privileges as he or she may have by virtue of academic rank" (SUNY Board of Trustees Policies, Art. IX, Title C, 2014).

Department Chair Nominations

The department chair position begins July 1 of the election year. The process for elections for the department chair will begin in February. The dean will send out a request for nominations, including self-nominations. Interested individuals will have three weeks to send their statement of interest to their dean, copying the dean's secretary.

Nominators should get explicit permission from a prospective nominee prior to submitting the nominee's name. The dean will compile the list of nominated candidates in March.

Faculty holding a 0.5 FTE appointment or above are eligible to vote in chair elections. The department will conduct elections in April. Votes will be cast electronically and the distribution, collection and tallying of electronic ballots will be handled by school secretaries. The names of candidates receiving a majority or plurality of votes will be forwarded to the president for consideration. In the case of a tie vote, the dean shall discern a finalist, and forward the name of that finalist to the president for consideration.

In order to provide onboarding, the new chair will work with the current chair starting in May.

This would provide an opportunity for any questions to be asked and information to be shared on any current, former or future tasks.

Department Chair Compensation

The department chair receives a 0.33 reduction in mentoring and teaching responsibilities, and an annual stipend of $4,000.

Planned Review

The Office of Academic Affairs shall review this position description periodically. This review will consider the compensation model, the scope of duties and responsibilities, the resources and infrastructure available for supporting the chairs' work, and such revisions to the position as may deemed necessary. This review shall result in a written recommendation to be submitted to the president for consideration.

APPENDIX 4

CONTINUING DEVELOPMENT OF FACULTY EXPERTISE AND COMPETENCY

This appendix draws on the SUNY Board of Trustees criteria for faculty review in further defining faculty expertise in teaching and mentoring, and presents guidelines for establishing competency in a new area, so that faculty have an opportunity to make requests to teach in new subject areas. Also included is guidance and recommendations for professional development to allow faculty to maintain and expand expertise in teaching and mentoring.

This appendix also draws from a white paper on Faculty Expertise and Competency developed by the Teaching and Mentoring Faculty Committee. The appendix will be reviewed annually.

Subject Matter Expertise

One of the five criteria by which faculty are evaluated is "Mastery of Subject Matter," According to the Faculty Handbook, such things as "advanced degrees, licenses, honors, awards, and reputation in the subject matter field" can demonstrate mastery in subject matter. The Handbook states:

Faculty may demonstrate current mastery of the principal field(s) of knowledge through publications, artistic accomplishments, evaluative comments regarding professional work by colleagues of stature in the field, use of scholarly resources in mentoring, consultancies, etc. A wide range of competencies within a subject matter is valued; competence in ancillary fields is an important consideration. Interdisciplinary competency is a strength (Faculty Handbook, Part III, Section D.).

Mentoring Competency

Faculty at SUNY Empire State College are expected to have broad expertise in mentoring and be able to mentor students in a variety of areas of study. Mentoring students in the development of degree plans and lifelong learning pursuits plays a significant role in faculty work at SUNY Empire, and mentoring in this way sets the college apart from other institutions. Over the college's history, faculty have mentored students across many disciplines and often in the development of degree plans and the writing of prior learning assessment requests outside their immediate areas of expertise.

The Faculty Handbook further encourages faculty development of competency in mentoring. The following criteria are useful in assessing a faculty member's demonstration of competency in this area:

- The ability of the faculty member to counsel students in academic matters.
- Concurrent evidence of ability to interact well with students.
- The extent to which the faculty person provides useful diagnostic information and recommendations to students regarding development of their academic programs.

Ongoing Development of Teaching Expertise

As faculty members develop new areas of expertise during their time with the college, they can establish and/or demonstrate this new expertise by:

- Showing ongoing and sustained engagement in a new academic or professional field.
- Acquiring additional post-graduate training.
- Presenting at conferences.
- Serving as consultants.

- Publishing or exhibiting artwork to the standards expected in our own internal faculty reviews.
- Teaching courses in this new area at other college.
- Developing new skills such as learning to teach in different modes.

During the faculty annual planning process faculty may discuss with their associate dean/dean their interests in: teaching courses in the catalog they have not taught in the past; developing new courses; developing special topics courses; offerings for residencies; and courses that respond to current issues or events.

Ongoing development of Mentoring Competence

Being able to effectively mentor students outside the faculty member's own disciplinary area of expertise is a hallmark of the role of mentors at the college. The Center for Mentoring Learning and Academic Innovation has a specific charge to support the development of mentoring competency, which they do through workshops, webinars, podcasts, publications, and presentations. Although faculty located in larger locations, or focused in mentoring online students, may not have as many opportunities to mentor in other disciplines the development of such expertise is encouraged and supported.

Faculty Professional Development Related to teaching and mentoring expertise

In order to maintain and further develop expertise and competency throughout the life cycle of faculty at the college, the college provides numerous opportunities for ongoing professional development and encourages and supports faculty in engaging in professional development opportunities. These professional development opportunities include:

- Professional development opportunities provided by the Center for Mentoring, Learning and Academic Innovation.
- Support to attend trainings/workshops.
- Reassignment opportunities.
- Opportunities to present emerging areas of expertise to internal audiences (e.g. the scholars across the college program).
- Buddy/peer mentoring opportunities.

APPENDIX 5

SUPPLEMENT TO PROFESSIONAL DEVELOPMENT PLANNING (FACULTY HANDBOOK PART V. SECTION B)

The purpose of this supplement to professional development planning is to provide structured guidance for faculty as they work collaboratively with their associate dean/dean in identifying possible professional development opportunities during the year. If they so choose, faculty can identify items of interest or areas of need for further growth that apply to their academic and professional work. Additional topics, areas or activities not listed below can also be a part of this plan. Part-time line faculty should only consider those areas or activities that are relevant to expectations discussed in current re-appointment letters.

Foundational Topics: At SUNY Empire State College, we are committed to foundational explorations on a routine basis to deepen mentoring practice as it applies to our specific work in the college. The following regularly offered workshops provide full-time faculty with the opportunity to renew their practice:

- SUNY Empire Core Values (fall/spring)
- Philosophies and Practices of Adult Learning (fall/spring)
- Diversity/Equity/Inclusion in mentoring and teaching (fall/spring)
- Educational Planning (fall/spring)
- PLA (fall/spring)
- Other suggested areas

Development Opportunities Related to the Discipline or Schools: At SUNY Empire, we are committed to development opportunities directly related to a mentor's ongoing scholarly/professional work. We expect faculty to pursue projects of many types that help them stay engaged in their discipline/areas of interest. Such activities could include one or more of the following, or other activities relevant to an individual faculty member's professional development:

- Research, writing, and/or creative projects related to one's discipline or area of scholarly/ professional interest.
- Internal reassignments, awards, and other development opportunities: faculty development funding, sabbaticals, reassignments, Imperatore Fellowship, Scholars Across the College, Institute for Mentoring, Teaching, and Learning (IMTL), Turben Chair in Mentoring, PILLARS, etc.
- External grants, fellowships, and awards: Fulbright, National Endowment for the Humanities, National Science Foundation, Innovative Instruction Technology Grant (IITG), Drescher Leave Program, etc.

Elective Mentoring Topics: Development activities on mentoring and teaching practices in a diverse and changing college are routinely offered. The following regularly offered workshops provide faculty with additional opportunities for development in more specific areas of mentoring and teaching practice:

- Mentoring and teaching at a distance (fall/spring).
- Teaching Practices: Evaluating and Grading (fall).
- Teaching Practices: The ethical dimensions of our work) (spring).
- Mentoring Practices (rotating offerings).
- Suggest other pressing topics/subjects (rotating offerings).

Other Faculty Development Activities offered by the college:
- Library workshops or consultations.
- Academic support workshops or consultations.
- Instructional design and/or or Educational technologies workshops or consultations.
- Activities related to special topics such as: open educational resources (OERs), blended learning, etc.
- Longer Term Professional Development Planning Goals and Activities.

APPENDIX 6

SUNY EMPIRE STATE COLLEGE GEOGRAPHIC ORGANIZATION

Administrative Offices

2 Union Avenue
Saratoga Springs, NY 12866
800-847-3000

LOCATIONS

Auburn

Cayuga County
Community College
Main Building, Room M310
197 Franklin Street
Auburn, NY 13021
315-784-6260

Binghamton

State Office Building
44 Hawley Street, Floor 5
Binghamton, NY 13901
607-203-8710

Brooklyn

177 Livingston Street, Floor 6
Brooklyn, NY 11201
718-783-4400

Buffalo

AppleTree Business Park
2875 Union Road, Suite 34
Cheektowaga, NY 14227
716-686-7800

Corning

8 Denison Parkway East,
Suite 204
Corning, NY 14830
607-463-2390

East Syracuse

6333 Route 298, Floor 3
East Syracuse, NY 13057
315-472-5730

Fort Drum

Robert C. McEwen Library and
Education Complex
Building P-4300
4300 Camp Hale Road
Fort Drum, NY 13602
315-773-6139

Harlem

163 West 125th Street,
Floor 2
New York, NY 10027

Hartsdale

210 North Central
Avenue,
Suite 230
Hartsdale, NY 10530

914-948-6206

New York City

4 Park Avenue, Floor 2
New York, NY 10013
212-647-7800

Olean

Jamestown Community
College, Library and
Liberal Arts Center
260 North Union Street,
Floor 4
Olean, NY 14760
716-701-4140

Queensbury

SUNY Adirondack, Bryan Hall
Regional Higher Education
Center
640 Bay Road
Queensbury, NY 12804
518-832-2171

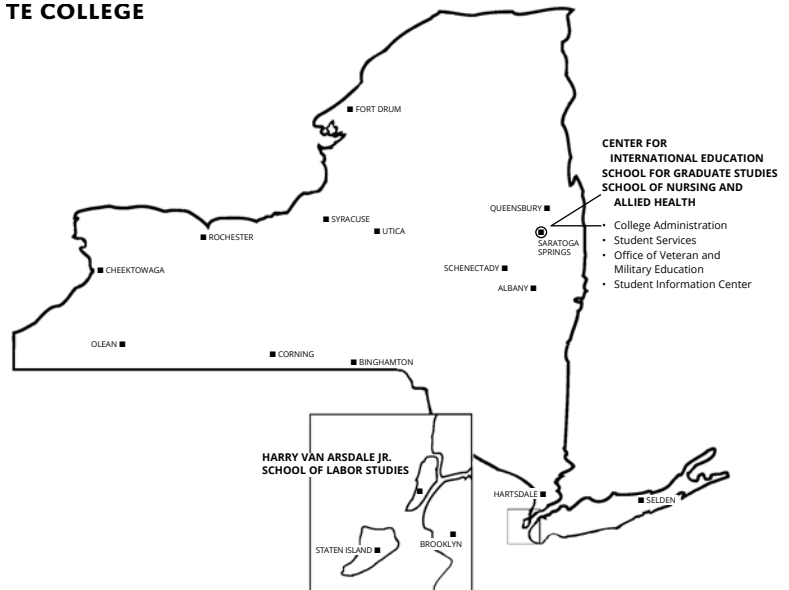**Rochester**

680 Westfall Road
Rochester, NY 14620
585-224-3200

Saratoga Springs

113 West Avenue
Saratoga Springs, NY 12866
518-587-2100, ext. 2297

Schenectady

245 Broadway, Suite 1
Schenectady, NY 12305
518-374-5059

TE COLLEGE

CENTER FOR
INTERNATIONAL EDUCATION
SCHOOL FOR GRADUATE STUDIES
SCHOOL OF NURSING AND
ALLIED HEALTH
• College Administration
• Student Services
• Office of Veteran and
  Military Education
• Student Information Center

HARRY VAN ARSDALE JR.
SCHOOL OF LABOR STUDIES

Selden

407 College Road
Selden, NY 11784
631-496-3822

Staten Island

500 Seaview Avenue, Suite 230
Staten Island, NY 10305
718-667-7524

Utica

State Office Building
207 Genesee Street, Suite 606
Utica, NY 13501
315-982-6732

SUNY Global

116 East 55th Street
New York, NY 10022

School for Graduate Studies

113 West Avenue
Saratoga Springs, NY 12866
518-587-2100, ext. 2429

**School of Nursing and
Allied Health**

113 West Avenue
Saratoga Springs, NY 12866
518-587-2100, ext. 3020

**Harry Van Arsdale Jr.
School of Labor Studies**

4 Park Avenue, Floor 2
New York, NY 10016
646-230-1355

**Center for
International Education**

1 Union Avenue
Saratoga Springs, NY 12866
800-847-3000, ext. 2231

• Tirana, Albania
• Prague, Czech Republic
• Santo Domingo,
  Dominican Republic
• Athens, Greece
• Thessaloniki, Greece
• Beirut, Lebanon
• Eskisehir, Turkey

**Office of Veteran and
Military Education**

800-847-3000, ext. 2779

Student Information Center

800-847-3000

APPENDIX 7

SUNY EMPIRE STATE COLLEGE ADMINISTRATIVE ORGANIZATION

The current SUNY Empire State College Organization Chart is available here:
www.esc.edu/president/organization/organization-chart/

The current Office of Academic Affairs Organizational Chart is available here:
www.esc.edu/academic-affairs/provost-office/org-chart/

APPENDIX 8

MEMBERS OF PRESIDENT'S CABINET

Nathan Gonyea, Officer in Charge
Deb Amory, Interim Vice Provost for Academic Affairs
Tai Arnold, Acting Provost and Executive Vice President for Academic Affairs
Lexie Bonitatibus, Assistant Vice President for Administration, Chief Financial Officer, and
    Interim Chief Operating Officer
Susan Epstein, Interim Assistant Vice President for Advancement and Executive Director of Partnerships
Andrea Hennessy, Associate Vice President for Enrollment Management
Seana Logsdon, Acting Vice Provost for Student Success
Audeliz Matias, Interim Chief Diversity Officer
Todd Myles, Chief Information Officer
Solomon Syed, Assistant Vice President for Communications, Marketing, and Government Relations
Jalisa Williams, Assistant Vice President of Human Resources
Leigh Yannuzzi, Acting Chief of Staff

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