

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

**Appointment, Promotion, and Continuing Appointment
Standards and Procedures for
Non-Librarian Faculty Holding Academic Rank on the Syracuse Campus**

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Preamble

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

This document, which is usually referred to as “ESF’s Promotion and Tenure Standards and Procedures,” establishes the policies, standards, and procedures guiding the Appointment, Promotion, and Continuing Appointment for non-librarian faculty holding academic rank on the Syracuse campus. Other documents describe the policies, standards, and procedures for the librarian ranks, Library-based Instructors, and for faculty holding academic rank at the Ranger School.

Faculty holding academic rank are defined by the SUNY Board of Trustees Policies (Sec. II, §1(j)) as having the titles of Professor, Associate Professor, Assistant Professor, and Instructor; and members of the professional staff having the titles of Librarian, Associate Librarian, Senior Assistant Librarian, and Assistant Librarian. For the remainder of this document, the term “faculty” refers only to non-library ESF staff holding these academic ranks on ESF’s Syracuse campus. Thus, *this document applies to Professors, Associate Professors, Assistant Professors, and non-Library based Instructors on ESF’s Syracuse campus*. It does not apply to Instructors based in the Library, Visiting Professors or Lecturers, or professional employees without academic rank, including Research Associates and Instructional Support staff.

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Quick Start Guidance

The guidance in this section provides information on the *most important* sections of these Promotion and Tenure Standards and Procedures to applicants and other parties involved in ESF's Promotion and Continuing Appointment process. It is **not** meant to be a comprehensive list of all sections of this document applicable to a request for Promotion and/or Continuing Appointment.

*Applicants and others involved in ESF's Promotion and Continuing Appointment process are encouraged to read this **entire** document.* Doing so will provide the reader with a comprehensive understanding of the standards and processes used for Promotion and Continuing Appointment actions at ESF.

In addition, as 2.1. points out “This document describes institutional standards for academic ranks and Continuing Appointment. They are necessarily general to be applicable across the College’s diverse disciplines. The institutional standards are supplemented with Department Standards, which translate institutional standards into the disciplinary context.” Given this, *all parties involved in ESF Promotion and Continuing Appointment process also need to read the **Department Standards and Procedures** for the applicant’s home Department(s).*

1. If you are an **Instructor**:

a. Undertaking your **Third-Year Review**:

- i. [2.3.](#) and [2.6.](#) Standards for appointment as an Instructor with Continuing Appointment (i.e., the standards you will need to meet to be reappointed as Instructor (2.3.) with Continuing Appointment (2.6.) in the future),
- ii. [6.1.](#) Review process for third-year review of Instructors, and
- iii. [7.1.](#) Dossier information.

b. Applying for **Continuing Appointment**:

- i. [2.6.](#) Standards for Continuing Appointment,
- ii. [7.](#) Review process for Continuing Appointment, and
- iii. [7.1.](#) and [7.2.](#) Dossier and internal review information.

c. Applying for **Appointment as Assistant Professor**:

- i. [2.4.](#) Standards for promotion to Assistant Professor (i.e., the standards you will need to meet to be appointed as an Assistant Professor),
- ii. [6.2.](#) Review process for Instructors to be appointed as Assistant Professor, and
- iii. [7.1.](#) and [7.2.](#) Dossier and internal review information.

2. If you are an **Assistant Professor**:

a. Undertaking your **Third-Year Review**:

- i. [2.4.](#) and [2.6.](#) Standards for promotion to Associate Professor with Continuing Appointment (i.e., the standards you will need to meet to be promoted to Associate Professor (2.4.) and to receive Continuing Appointment (2.6.) in the future),
- ii. [6.1.](#) Review process for third-year Assistant Professors, and
- iii. [7.1.](#) Dossier information.

- b. Applying for **Promotion and/or Continuing Appointment**
 - i. [2.4.](#) and [2.6.](#) Standards for promotion to Associate Professor with Continuing Appointment,
 - ii. [7.](#) Review process for Promotion to Associate Professor with Continuing Appointment, and
 - iii. [7.1.](#) and [7.2.](#) Dossier and external review information.
- 3. If you are an **Associate Professor**:
 - a. Applying for **Promotion to Professor**:
 - i. [2.5.](#) Standards for promotion to Professor (i.e., the standards you will need to meet to be promoted to Professor),
 - ii. [7.](#) Review process for Promotion to Professor, and
 - iii. [7.1.](#) and [7.2.](#) Dossier and external review information.
- 4. If you are a **DRC member or DRC Chair**:
 - a. 2. Standards for academic rank and continuing appointment (see [2.1.](#), and then the standards that apply for action you are reviewing (i.e., [2.2.](#) Instructors, [2.3.](#) Assistant Professors, [2.4.](#) Associate Professors, [2.5.](#) Professors, and [2.6.](#) Continuing Appointment),
 - b. [3.](#) Department Review Committee requirements,
 - c. If you are conducting:
 - i. A pre-Promotion and/or Continuing Appointment application, see:
 - 1. [6.1.](#) Third-Year review of Assistant Professors and Instructors, and
 - 2. [6.2.](#) Instructor applying for appointment as Assistant Professor.
 - ii. A Promotion and/or Continuing Appointment review, see [7.1.](#) (Dossier information) and [7.2.](#) (External and/or Internal reviews).
- 5. If you are a **CRC member or CRC Chair**:
 - a. 2. Standards for academic rank and continuing appointment (see [2.1.](#), and then the standards that apply for action you are reviewing (i.e., [2.2.](#) Instructors, [2.3.](#) Assistant Professors, [2.4.](#) Associate Professors, [2.5.](#) Professors, and [2.6.](#) Continuing Appointment)),
 - b. [4.](#) College Review Committee requirements, and
 - c. [7.](#) Review process for Promotion and/or Continuing Appointment.
- 6. If you are an **Internal or External Reviewer**:
 - a. 2. Standards for academic rank and continuing appointment (see [2.1.](#), and then the standards that apply for action you are reviewing (i.e., [2.2.](#) Instructors, [2.3.](#) Assistant Professors, [2.4.](#) Associate Professors, [2.5.](#) Professors, and [2.6.](#) Continuing Appointment)), and
 - b. [7.1.](#) and [7.2.](#) Dossier and external review information.
- 7. If you are a **Search Committee Chair or Search Committee Member** where a candidate has requested appointment as Associate Professor, Professor, and/or Continuing Appointment:
 - a. 2. Standards for academic rank and continuing appointment (see [2.1.](#), and then the standards that apply for action you are reviewing (i.e., [2.2.](#) Instructors, [2.3.](#) Assistant Professors, [2.4.](#) Associate Professors, [2.5.](#) Professors, and [2.6.](#) Continuing Appointment)), and
 - b. [5.](#) Initial appointment.

1. INTRODUCTION AND DEFINITIONS

1.1. General Considerations

1.1.1. *Importance of Institutional Purpose and Values.*

- 1.1.1.1. The standards for academic rank and Continuing Appointment are the core of ESF's identity. They define the qualities, behaviors, and accomplishments that ESF seeks in faculty members to promulgate the College's purpose and values. These standards are consistent with and supportive of the College's institutional mission: "To educate future environmental leaders of all backgrounds, advance knowledge and skills necessary to promote scholarship and stewardship of the natural to designed environments, and act both locally and globally to improve our world."
- 1.1.1.2. The standards set out in this document are community standards, based on a shared vision and shared principles, to which ESF faculty members hold themselves in dedication to a common cause of an institution with these attributes:
 - 1.1.1.2.1. ESF is, first and foremost, an educational institution that provides degree-seeking students with the knowledge and skills that enable them to lead responsible, productive, and fulfilling lives.
 - 1.1.1.2.2. ESF is a research university advancing the frontiers of knowledge, devising creative solutions to applied problems, and training the next generation of environmental scholars.
 - 1.1.1.2.3. ESF is a public university with an obligation to aid the people and communities beyond our campus boundaries through the application of our knowledge and skills.
 - 1.1.1.2.4. ESF is a community that succeeds individually and collectively through mutual respect and a collegial approach to campus governance and work distribution.
 - 1.1.1.2.5. ESF's efforts are significantly funded by the taxpayers of the State of New York, and through its faculty members' efforts the College strives to provide a return to them on their investment.
- 1.1.2. *SUNY Criteria.* The Policies of the SUNY Board of Trustees list five criteria which may be considered in whole or in part in the evaluation of academic employees: (1) mastery of subject matter, (2) effectiveness in teaching, (3) scholarly ability, (4) effectiveness of university service, and (5) continued growth. These criteria are presented as guidance; they are not mandatory or necessarily complete. More importantly, they are not standards. The College is responsible for determining standards for Promotion and Continuing Appointment, and this document **and** Departments' Promotion and Continuing Appointment standards establish these expectations.
- 1.1.3. *Non-discrimination.* It is the policy of SUNY and ESF that all matters with respect to employment shall take place without discrimination based on race, color, national

origin, religion, creed, age, disability, sex, gender identity, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, or criminal conviction. These principles apply to all aspects of the Promotion and Continuing Appointment process at ESF including the selection and solicitation of evaluators and reviews.

1.2. Definitions. The following definitions apply in this document. *Definitions containing more than one sentence or clause should be read as a whole, rather than read as individual sentences and clauses.*

- 1.2.1. *Administrative Service.* Administrative service refers to major administrative roles (e.g., Department Chairs)) beyond the normal service obligations that faculty members provide to the university, college, and/or their department. Most administrative service positions require the candidate to have direct supervisory responsibility of one or more ESF employees. All administrative service appointments must be approved by the Provost.
 - 1.2.2. *Collaborative Scholarship.* Collaborative scholarship refers to activities where two or more people combine the strengths of their subject matter specialization or expertise to work together to address an intellectual problem.
 - 1.2.3. *Conflict of Interest.* A conflict of interest refers to a situation where an individual has multiple interests, one of which could potentially affect the objectivity of the Promotion and/or Continuing Appointment review. It exists in the following situations when someone serves as an external or internal reviewer, department faculty member, Department Review Committee (DRC) member, or College Review Committee (CRC) member.
 - 1.2.3.1. A conflict of interest exists when an external (i.e., non-ESF) or internal (i.e., ESF) reviewer is (or has been):
 - 1.2.3.1.1. A relative of a candidate (defined as a person living in the same household as the candidate, or a person who is a direct descendant of the (1) candidate's grandparents, or (2) the candidate's spouse's or domestic partner's grandparents),
 - 1.2.3.1.2. In an amorous relationship with the candidate, or
 - 1.2.3.1.3. The major professor for the candidate (or the candidate has been the major professor of a reviewer).
 - 1.2.3.2. Additionally for external (i.e., non-ESF) reviewers, a conflict of interest exists when a reviewer has (or has had):
 - 1.2.3.2.1. A significant personal relationship with the candidate (i.e., family or personal friend of the candidate), or
 - 1.2.3.2.2. Significant experience publishing, submitting grant proposals, or as a Principal or Co-Principal Investigator on grant(s) with the candidate.
- Where a candidate or other person involved in the Promotion and/or Continuing Appointment process believes that a conflict of interest exists (but that conflict is not defined above), the Provost or their designee shall, based on a written statement

provided by the person alleging the conflict of interest, determine if a conflict of interest exists and how it should be addressed.

- 1.2.4. *Creative Endeavors and Works.* Creative endeavors are works characterized by originality of thought and/or inventiveness. Creative works can employ nontraditional stylistic methodologies, be driven by individualistic narratives, and incorporate imaginative and innovative techniques to produce unique work. Such works may be directed towards self-expression, targeted audiences, a wide public audience, or commercial purposes. These include, but are not limited to: (1) writings and other creative publications, (2) professional commissions, (3) design competition submissions, (4) exhibitions, (5) visual presentation, (6) design works, (7) trans- and multi-media, (8) built projects, (9) visual works, (10) monographs, (11) photography, (12) audio or video recordings, (13) websites, story maps, and other social engagement creative works, and (14) development of works contributing to a profession (e.g., material and conceptual production, development of technology, interdisciplinary or collaborative practices, socially engaged practice/projects, and one-person or collaborative exhibitions).
- 1.2.5. *Department.* Department refers to the ESF academic department in which the faculty member is appointed at the time of their application for Promotion and/or Continuing Appointment.
- 1.2.6. *Dossier.* The dossier contains: (1) a cover letter stating the candidate's status and the requested action, (2) a memorandum summarizing the reviewed faculty member's yearly work assignments for the [Evaluative Period](#) written by the Department Chair after consultation with the candidate, and co-signed by the Department Chair and the candidate, (3) a statement by the candidate explaining how they have met the college's and their Department's standard for Promotion and/or Continuing Appointment, (4) copies of **all** prior ESF-based DRC, Department Chair, CRC, Provost, and/or President reviews (see C.2.3.), (5) a statement by the candidate describing how they have responded to all prior ESF-based DRC, Department Chair, CRC, Provost, and/or President reviews during the evaluative period, (6) the candidate's curriculum vitae, (7) the candidate's scholarship portfolio, (8) the candidate's teaching portfolio, (9) the candidate's service portfolio(s), (10) if applicable, the candidate's administrative portfolio, and (11) other information required by the candidate's department. See [Appendix C.2.](#) for specific dossier requirements.
- 1.2.7. *Evaluative File.* The Evaluative File contains: (1) the candidate's dossier, (2) internal and/or external evaluations solicited by the DRC, and (3) evaluations and recommendations from department faculty, DRC, Department Chair, CRC, and Provost as they are created. See Appendix C for more specific information.
- 1.2.8. *Evaluative Period.* The Evaluative Period refers to the period of performance to be considered for review. Candidates' dossiers (see 1.2.6.) may include relevant information that occurred before the evaluative period, and reviews of candidates' dossier shall include a review of relevant information from before the evaluative period. However,

Promotion and Continuing Appointment reviews of candidates shall focus *primarily* on their achievements during the evaluative period.

- 1.2.8.1. The Evaluative Period for Instructors seeking Continuing Appointment begins on the first day of ESF employment and ends on the deadline established in these standards and procedures for submission of dossiers.
- 1.2.8.2. The Evaluative Period for Assistant Professors (1) seeking promotion to Associate Professor and/or Continuing Appointment, or (2) undertaking a review before seeking promotion to Associate Professor and/or Continuing Appointment (i.e., their third-year review) begins on the first day of ESF employment as Assistant Professor and ends on the deadline established in these standards and procedures for submission of dossiers.
- 1.2.8.3. The Evaluative Period for Associate Professors (1) seeking promotion to Professor and/or Continuing Appointment, or (2) any other review begins on the first day of ESF employment as Associate Professor and ends on the deadline established in these standards and procedures for submission of dossiers.
- 1.2.9. *Faculty*. Faculty refers to ESF professional staff having the titles of Professor, Associate Professor, Assistant Professor, and Instructor on the Syracuse campus. Faculty does not include: (1) members of the professional staff having librarian ranks, (2) Library-based Instructors, (3) faculty holding academic rank at ESF's Ranger School, (4) Visiting Professors and Lecturers, (5) professional employees without academic rank, such as Research Associates and Instructional Support staff, or (6) Emeritus Professors. See [Preamble](#) for additional information.
- 1.2.10. *Non-Department Academic Units*. Non-department academic units are divisions (e.g., Division of Environmental Science, Division of Engineering), and research institutes and centers (e.g., Adirondack Ecological Center, Climate & Applied Forest Research Institute).
- 1.2.11. *Peer Institutions*. Peer institutions are generally other universities and colleges. These institutions are typically doctoral granting institutions, with characteristics, qualities, and aspirations comparable to ESF *and* that contain departments with characteristics, qualities, and aspirations similar to the candidate's department. Peer institutions can also include non-academic institutions that have similar characteristics, qualities, and aspirations, such as National Laboratories (e.g., National Renewable Energy Laboratory) or Agencies (e.g., Environmental Protection Agency, United States Geological Survey).
- 1.2.12. *Peer-Reviewed*. Peer-reviewed typically refers to a review process where the authors do not know the identity of reviewers. Note that unless the following types of publications undergo this type of review process, they are not peer-reviewed publications: book chapters, books, and conference proceedings.
- 1.2.13. *Professional and Public Service*. Professional and public service refers to participation and leadership in furthering candidates' professional discipline and education of the public.

Professional and public service includes, but is not limited to: (1) public service and outreach activities aimed at off-campus and non-peer audiences; (2) leadership of national scientific and/or professional societies' major committees; (3) chairing or membership on national or state governments' advisory, review, or other boards; and (4) editorship of peer-review journals. See Appendix C.2.8.3 for a list of activities classified as Professional and Public Service. All faculty with (1) Professional and Public Service, and (2) University, College, and Department Service appointments *greater than 15%* must be approved by the Provost (i.e., the Provost must approve appointments where a faculty member's total service is greater than 15%).

- 1.2.14. *Rank Higher than the Candidate*. Rank higher than the candidate is based on faculty members' titles (in order of rank): Professor, Associate Professor, Assistant Professor, and Instructor. ESF's Promotion and Tenure Standards and Procedures *only allows for the submission of comments and vote on a candidate by those with a rank higher than the candidate* (e.g., if the candidate is an Assistant Professor applying for Promotion to Associate Professor, Professors and Associate Professors are of a higher rank).
 - 1.2.14.1. Instructors and Associate Professors applying for Continuing Appointment, but not applying for promotion, are an exception to this rule. In this situation, Instructors and Associate Professors, respectively, *with Continuing Appointment* may participate in the review of such a candidate.
- 1.2.15. *Scholarship*. Scholarship refers to inquiry that leads to the *acquisition and dissemination of knowledge* to promote understanding, foster innovation, and address societal challenges. Scholarship shall be demonstrated primarily through a candidate's tangible products of research, or for some disciplines, [creative endeavors and works](#). In an academic setting, written, visual, or oral products that are recognized by peers or undergo a peer-review process define scholarship. Similarly, built works and exhibitions also define scholarship as they are also peer-reviewed through a formalized process. Publications, presentations, creative endeavors, and built works are standard products in disciplines associated with the College. See Departments' Promotion and Continuing Appointment Standards and Procedures and Appendix C.2.6. for a list of activities classified as Scholarship.
- 1.2.16. *Solicited Materials*. Solicited materials are evaluations solicited by the DRC, such as external and internal peer evaluations. See 7.2 for additional information.
- 1.2.17. *Teaching*. Teaching refers to activities facilitating the assimilation of knowledge and the development of critical thinking skills by ESF students. These activities include: (1) classroom, synchronous and asynchronous online, laboratory, and field instruction; (2) course development; (3) meeting with and mentoring students; (4) testing and grading; and (5) professional development as a teacher. See Appendix C.2.7. for a list of activities classified as Teaching.
- 1.2.18. *University, College, and Department Service*. University, college, and department service refers to participation and leadership in furthering the mission of the University (e.g., SUNY) and/or College (e.g., ESF). It includes: (1) advising undergraduate students; (2)

graduate student committee chair assignments; (3) undergraduate and graduate coordinators, (4) College Governance membership, chair assignments, and leadership positions, (5) University, College, and Department committee membership and chair assignments; and (6) activities that: (a) promote ESF and its programs, or (b) enhance student recruitment and retention at ESF. See Appendix C.2.8.1. for a list of activities classified as University, College, and Department Service. All faculty with (1) Professional and Public Service, and (2) University, College, and Department Service appointments *greater than 15%* must be approved by the Provost (i.e., the Provost must approve appointments where a faculty member's total service is greater than 15%).

2. STANDARDS FOR ACADEMIC RANKS and CONTINUING APPOINTMENT

2.1. Applying the Standards.

2.1.1. *Department Standards and Procedures.*

2.1.1.1. This document describes institutional standards for academic ranks and Continuing Appointment. They are necessarily general to be applicable across the College's diverse disciplines. The institutional standards are supplemented with Departments' Standards and Procedures, which translate institutional standards into the disciplinary context. Departments' Standards and Procedures provide [faculty](#) with sound guidance on expectations for academic ranks but recognize that there is no single formula for demonstrating how the standards can be met.

2.1.1.2. Department Standards and Procedures: (1) cannot conflict with the College's standards and procedures (and if such a conflict exists, the College's standards and procedures shall be followed), and (2) should set out standards that are based on accomplishments of successful faculty at [peer institutions](#).

2.1.1.3. Department Standards and Procedures shall (1) be reviewed by the DRC and Department Chair with input from department faculty every five years and (2) set out the process for their amendment.

2.1.1.3.1. When Department Standards and Procedures are amended, the department shall:

2.1.1.3.1.1. Notify faculty whether the amendment: (1) substantially changes faculty members' obligations, or (2) clarifies faculty members' obligations, and

2.1.1.3.1.2. Email a copy of the revised standards to the Provost and CRC Chair.

2.1.2. *Current standards are used for all Promotion and Continuing Appointment actions.*

2.1.2.1. Candidates for Promotion and Continuing Appointment must meet the current standards and procedures set out in this document and Departments' current Promotion and Continuing Appointment standards and procedures (i.e., a candidate is reviewed according to the current standards and procedures, not the standards and procedures that were in effect at the time they were appointed to their current position).

2.1.3. *Appointments in Non-Department Academic Units.*

2.1.3.1. The director of non-department academic unit(s) (e.g., Adirondack Ecological Center, Climate & Applied Forest Research Institute) in which a faculty member applying for Promotion and/or Continuing Appointment participates may provide a written evaluation to the DRC of a candidate's accomplishments and activities within that unit. If provided, such evaluation shall be added to the candidate's [Evaluative File](#).

2.1.4. *Objectivity and Judgment.*

2.1.4.1. Decisions to assign or promote an individual to a particular rank and to confer Continuing Appointment are judgments. No two candidates' records are alike. It

- is up to those with review responsibility to evaluate the *written evidence* presented by the candidate in their [Dossier](#) to determine if the standards have been met.
- 2.1.4.2. While decisions to assign or promote individuals to an academic rank or to offer Continuing Appointment are judgments, those making the judgments are expected to adhere to practices that foster the greatest degree of objectivity possible. Such decisions are based on a comparison of the candidate's accomplishments and performance as documented in their [Dossier](#) with the expectations for academic ranks as outlined in these standards. Decisions may not be based on personal or professional differences or affinities, or information not contained within the candidate's [Evaluative File](#).
- 2.1.5. *Consideration of Work Assignments.* [Faculty](#) members of similar academic rank may have different work assignments.
- 2.1.5.1. A faculty member's work assignments must be taken into consideration when evaluating whether the candidate has met the institution's standards for Promotion and Continuing Appointment.
- 2.1.5.2. The Department Chair is responsible for defining a candidate's work assignment. A memorandum summarizing these work assignments for the evaluative period and specifying the percentage of the candidate's work assignment allocated *each year*, as applicable, to: (1) [Scholarship](#); (2) [Teaching](#); (3) [University, College, Department service, Professional, and Public service](#); and (4) [Administrative service](#), shall be written by the Department Chair after consultation with the candidate, co-signed by the Department Chair and the candidate, and included in each candidate's [Evaluative File](#). [Appendix F](#) contains a blank and sample memorandum.
- 2.1.5.2.1. If a candidate's work assignment changed and/or a candidate took a "gap year(s)" (e.g., family or other leave *approved by the Provost*) during the [Evaluative Period](#), the Department Chair's memorandum shall describe the period (i.e., years covered) and the change in the candidate's work assignments.
- 2.1.5.2.2. Candidate's workload assignment percentages for (1), (2), (3), and (4) in 2.1.5.2. must be in multiples of 5% (e.g., candidates cannot have a 12.5% workload for University, College, Department, Professional, and Public Service).
- 2.1.6. *Productivity and Impact/Effectiveness Standards.*
- 2.1.6.1. Standards for Promotion and Continuing Appointment include measures of: (a) productivity, and (b) impact/effectiveness (see [Table 1](#)).
- 2.1.6.1.1. Productivity standards reflect the *quantity* of the candidate's accomplishments and the expected output based on the candidate's work assignment as allocated by their Department Chair (and defined in the Department Chair's [memorandum specified in 2.1.5.2.](#)).

- 2.1.6.1.2. Impact/effectiveness standards reflect the *quality* of the candidate's accomplishments, namely the: (1) impact of candidates' [scholarship](#), and/or (2) effectiveness of candidates' [teaching](#) and applicable service (see [1.2.1.](#), [1.2.12.](#), and [1.2.17.](#)).
- 2.1.6.2. Application of Standards to Appointment and Promotion.
 - 2.1.6.2.1. To be appointed, candidates must meet impact/effectiveness standards for the appointed rank.
 - 2.1.6.2.2. To be promoted, candidates for promotion must meet *both*: (1) productivity standards, *and* (2) impact/effectiveness standards.
- 2.1.7. *Continuous Growth Standard for Promotion to Associate Professor and Professor.* Candidates' productivity and impact/effectiveness shall be examined with the greatest weight given to the [Evaluative Period](#) (i.e., the time since their Appointment or Promotion to their current rank). Candidates' [dossiers](#) must reflect and demonstrate:
 - 2.1.7.1. A continuing or increasing level of productivity and increasing impact/effectiveness during the evaluative period, and
 - 2.1.7.2. A cumulative record that demonstrates sustained accomplishments in [Teaching](#), [Scholarship](#), [University, College, Department, Professional, and Public Service](#), and/or [Administrative Service](#).

2.2. Standards for Appointment to Instructor.

2.2.1. Use of Title and Expectations.

- 2.2.1.1. The Instructor title is primarily used for Faculty whose principal duties are teaching.
- 2.2.1.2. The Instructor title may also be used temporarily for academic staff whose work assignment includes significant [scholarship](#) and who meet all the qualifications for the Assistant Professor rank except for the completion of a terminal degree.

2.2.2. Responsibilities Commensurate with Workload.

- 2.2.2.1. Candidates for Instructor must meet the college and department standards below commensurate with workload (e.g., candidates with a service workload allocation must meet the college's and department's service standards).

2.2.3. Standards.

- 2.2.3.1. Terminal Degree. Candidates are not required to have a terminal degree.
- 2.2.3.2. [Teaching](#). Candidates are expected to be subject matter experts who have demonstrated, or show promise of, effectiveness in instruction and an affinity for engagement with students. Candidates are expected to be aware of and engage in current instructional techniques.
- 2.2.3.3. [Scholarship](#). Candidates with Appointments that include a [scholarship](#) component are expected to have produced, or show promise of, scholarly output commensurate with their work assignment.
- 2.2.3.4. [University, College, Department, Professional, and Public Service..](#) Candidates with Appointments that include a [university, college, department, professional](#)

[and/or public service](#) component are expected to have demonstrated, or show promise of, effectiveness in such service.

2.2.3.5. [Administrative Service](#). Candidates with Appointments that include [administrative service](#) are expected to have demonstrated, or show promise of, effectiveness in such service.

2.2.4. *Promotion of Instructors to Professorial Ranks*. Instructors are generally hired to teach, so their work assignments are by design not conducive to meeting the [scholarship](#) standards for Promotion to the professorial ranks and there is no expectation that effective Instructors will be promoted. However, Instructors are eligible for Promotion to professorial ranks if they meet all promotional standards, including those related to scholarship productivity and impact (generally through efforts outside of their formal work assignments). Advancement to professorial rank will not, in most instances, result in a change in work assignment. Section [6.2](#), describes the process for Instructors applying for appointment as Assistant Professor.

2.3. Standards for Appointment/Promotion to Assistant Professor.

2.3.1. *Terminal Degree*. Candidates must hold a terminal degree in their discipline. Department standards shall specify terminal degrees for faculty members in their department.

2.3.2. [Responsibilities Commensurate with Workload](#).

2.3.2.1. Candidates for Assistant Professor must meet the college and department standards below commensurate with workload (e.g., candidates with a teaching workload allocation must meet the college's and department's teaching standards).

2.3.3. [Teaching](#).

2.3.3.1. Productivity.

2.3.3.1.1. Candidates with prior teaching experience are expected to have taught courses commensurate with their work assignment.

2.3.3.1.2. Candidates without prior teaching experience are expected to show promise of teaching courses commensurate with their expected teaching assignment.

2.3.3.2. Effectiveness.

2.3.3.2.1. Candidates with prior teaching experience are expected to: (1) have demonstrated consistently positive engagement with students and effectiveness in achieving student learning outcomes, (2) be aware of and engage in current instructional techniques, and (3) have demonstrated innovation and evolution in their instructional methods and materials.

2.3.3.2.2. Candidates without prior teaching experience are expected to: (1) show promise of effectiveness in instruction and positive engagement with students, (2) be aware of and engage in current instructional techniques, and (3) show promise in innovation and evolution in their instructional methods and materials.

2.3.4. Scholarship.

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

2.3.4.2. Impact. Candidates are expected to: (1) be subject matter experts, (2) have produced, or show promise in producing, scholarship recognized by other scholars in their discipline(s) as significant, and (3) have demonstrated they have a penchant for original scholarship.

2.3.5. Department, College, University, Professional, and Public Service.

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

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

2.3.6. Administrative Service (if applicable).

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

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

2.4. Standards for Appointment/Promotion to Associate Professor.

2.4.1. Terminal Degree. Candidates must hold a terminal degree in their discipline. Department standards shall specify terminal degrees for faculty members in their department.

2.4.2. Responsibilities Commensurate with Workload.

2.4.2.1. Candidates for Associate Professor must meet the college and department standards below commensurate with workload (e.g., candidates with a teaching workload allocation must meet the college's and department's teaching standards).

2.4.3. Teaching.

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

2.4.3.2. Effectiveness.

2.4.3.2.1. Candidates with prior teaching experience are expected to: (1) have demonstrated consistently positive engagement with students and effectiveness in achieving student learning outcomes, (2) be aware of and engage in current instructional techniques, and (3) have demonstrated innovation and evolution in their instructional methods and materials.

2.4.3.2.2. Candidates without prior teaching experience are expected to: (1) show promise of effectiveness in instruction and positive engagement with students, (2) be aware of and engage in current instructional techniques, and

(3) show promise in innovation and evolution in their instructional methods and materials.

2.4.4. [Scholarship](#).

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

2.4.4.2. Impact. Candidates are expected to be subject matter experts who have been nationally or internationally recognized for significant contributions in their discipline(s) as demonstrated, under normal conditions, by **all** the following:

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

2.4.4.2.2. Identifiable scholarly advances/contributions,

2.4.4.2.3. Meaningful professional engagement with scholarly peers,

2.4.4.2.4. Recognition by peers of significant scholarly accomplishments,

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

2.4.4.2.6. Success in recruiting and completing graduate students.

2.4.5. [Department, College, University, Professional, and Public Service](#).

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

2.4.5.2. Effectiveness. Candidates are expected to have demonstrated, or show promise of, effectiveness in university, college, department, professional and public service.

2.4.6. [Administrative Service](#) (if applicable).

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

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

2.5. Standards for Appointment/Promotion to Professor.

2.5.1. *Terminal Degree*. Candidates must hold a terminal degree in their discipline. Department standards shall specify terminal degrees for faculty members in their department.

2.5.2. [Responsibilities Commensurate with Workload](#).

2.5.2.1. Candidates for Professor must meet the college and department standards below commensurate with workload (e.g., candidates with a teaching workload allocation must meet the college's and department's teaching standards).

2.5.3. [Teaching](#).

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

2.5.3.2. Effectiveness.

2.5.3.2.1. Candidates with prior teaching experience are expected to: (1) have demonstrated consistently positive engagement with students and effectiveness in achieving student learning outcomes, (2) be aware of and engage in current instructional techniques, and (3) have demonstrated innovation and evolution in their instructional methods and materials.

2.5.3.2.2. Candidates without prior teaching experience are expected to: (1) show promise of effectiveness in instruction and positive engagement with students, (2) be aware of and engage in current instructional techniques, and (3) show promise in innovation and evolution in their instructional methods and materials.

2.5.4. Scholarship.

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

2.5.4.2. Impact. Candidates are expected to be subject matter experts who have achieved national or international renown (i.e., are widely recognized and/or honored) for significant advances in their discipline(s) as demonstrated, under normal conditions, by **all** the following:

2.5.4.2.1. An identifiable significant body of individual and collaborative scholarship work that has demonstrably advanced the individual's discipline(s),

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

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

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

2.5.4.2.5. Sustained success in recruiting and completing graduate students.

2.5.5. Department, College, University, Professional, and Public Service.

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

2.5.5.2. Effectiveness. Candidates are expected to have demonstrated, or show promise of, effectiveness in university, college, department, professional and public service.

2.5.6. Administrative Service (if applicable).

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

2.5.6.2. Effectiveness. Candidates are expected to have demonstrated that they have successfully completed their administrative service (see 1.2.1.) responsibilities.

2.6. Standards for Continuing Appointment.

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

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

2.6.3. *Promotion and Continuing Appointment.*

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

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

2.6.4. *Timing.*

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

2.6.4.2. Assistant Professors.

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

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

2.6.4.3. Associate Professors and Professors. Associate Professors and Professors may be granted Continuing Appointment at any time. However, the Policies of the SUNY Board of Trustees state that [faculty](#) in these ranks *may not* continue to be employed at these ranks for more than three (3) years without Continuing Appointment. Therefore, a decision on Continuing Appointment must be made before two (2) years of qualifying service at either rank.

2.6.5. *Standards for Continuing Appointment.*

2.6.5.1. Under most circumstances, Continuing Appointment assures life-long employment at the College. The decision to grant Continuing Appointment reflects a judgment that the candidate will meaningfully contribute to the College's mission and fulfill their collegial duties throughout their academic career.

2.6.5.2. Continuing Appointment decisions are based on **all** four (4) of the following criteria:

2.6.5.2.1. Perceived long-term need for the faculty member's talents,

- 2.6.5.2.2. Demonstrated excellence in the performance of the duties demanded by the position,
- 2.6.5.2.3. Consistent constructive cooperation and professional behavior as it relates to the candidate's department and institution roles, *and*
- 2.6.5.2.4. Perception that the professional contributions will continue, and expand, in the future.

3. THE DEPARTMENT REVIEW COMMITTEE (DRC)

3.1. General Considerations.

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

3.2. Committee Responsibilities.

- 3.2.1. Each department shall have a standing DRC which shall conduct:
- 3.2.1.1. Promotion and Continuing Appointment reviews. In connection with this responsibility, the committee shall:
- 3.2.1.1.1. In consultation with the CRC Chair, ensure that candidates' [dossiers](#) meet the formatting and other requirements set out in these standards (see e.g., 7.1, [Appendix C](#)),
- 3.2.1.1.2. Solicit external and/or internal letters of evaluation for candidates, including evaluations from directors of units in which the candidate participates,
- 3.2.1.1.3. Invite department faculty to review candidates' dossiers,
- 3.2.1.1.4. Request written evaluations and recommendations by [department faculty](#) having a [rank higher than the candidate](#) on candidates' qualifications,
- 3.2.1.1.5. Conduct a confidential written vote by ballot of department faculty having a rank higher than the candidate on whether action requested by candidates should be granted, and
- 3.2.1.1.6. Provide a recommendation to the Department Chair on the candidates' qualifications.
- 3.2.1.2. Where appropriate, determination of Academic Rank for initial appointment (see 5.)
- 3.2.1.3. Reviews and assessment prior to and after Promotion and/or Continuing Appointment (see 6.).

3.3. Committee Composition and Conflicts of Interest.

- 3.3.1. DRC members should be drawn from the [department's faculty](#) unless the department has an insufficient number of faculty to comprise the committee. In such case, the Department Chair, in consultation with the Provost, shall complete the DRC's membership with faculty from other College departments.
- 3.3.1.1. Given the need for consistency in DRC recommendations, when faculty from other College departments are required for DRCs, Department Chairs should whenever possible reappoint the faculty from other College departments who served on the department's DRC the previous year.
- 3.3.2. The DRC shall consist of either: (1) five Professors with Continuing Appointment, (2) four Professors with Continuing Appointment and one Associate Professor with

Continuing Appointment, or (3) three Professors with Continuing Appointment and two Associate Professors with Continuing Appointment. Departments can decide which of these three configurations they wish to adopt and may change configurations yearly if they wish.

3.3.2.1. Department's CRC representative shall serve as one of the Department's DRC members.

3.3.2.1.1. It is preferable that the Department's CRC member not serve as DRC Chair.

3.3.2.1.2. CRC members are *not* eligible for appointment to other departments' DRC.

3.3.3. If a candidate is requesting promotion to Professor, (1) the Associate Professor(s) on the DRC shall not participate in the DRC review of the candidate, and (2) the Department Chair, in consultation with the Provost, will appoint a Professor(s) from another ESF department to the DRC for purposes of reviewing this candidate so that the candidate is reviewed by five Professors.

3.3.4. The Department Chair shall appoint DRC members to three (3) year terms. Appointments to the DRC should be staggered to ensure continuity. This requirement does not apply to the Department's CRC representative on the DRC.

3.3.5. The DRC Chair shall be a Professor, not an Associate Professor. It is preferable that the Department Chair appoint a Professor with at least one (1) year of service on the DRC as DRC Chair.

3.3.6. DRC members shall recuse themselves from discussion or consideration of candidates' applications where a [conflict of interest](#) exists.

3.4. DRC Voting Procedures.

3.4.1. *Meeting.* DRC meetings may be conducted in person or by video conferencing (e.g., Zoom). Telephone conference calls are prohibited.

3.4.2. *Quorum.* Of the DRC members eligible to vote on a given candidate, no more than one (1) may be absent to constitute a quorum. A quorum must be computed individually for each candidate.

3.4.3. *Abstentions.* No abstentions are allowed.

3.4.4. *Recusal.* DRC members shall recuse themselves where a [conflict of interest](#) exists. In such situations, (1) this DRC member may not participate in the discussion or consideration of candidates' applications, and (2) recused DRC members are not replaced on the DRC. Recused DRC members are not considered eligible voters for quorum calculations.

3.4.5. *Absentee Ballots.* No absentee ballots are allowed.

3.4.6. *DRC Members' Evaluations and Recommendations on Candidates.*

3.4.6.1. DRC members do *not* (1) provide the DRC with written evaluations and recommendations on candidates' qualifications, or (2) participate in the confidential written vote by ballot of department faculty on whether action

requested by candidates should be granted (see 3.2.1.1.6.). DRC members only vote within the DRC (not with department faculty or CRC).

3.5. DRC Composition for Promotion of Department Chairs.

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

4. THE COLLEGE REVIEW COMMITTEE (CRC)

4.1. Purpose and Responsibility of College Level Review.

- 4.1.1. The College Review Committee (CRC) protects the interests of the candidate, Department, and College to ensure that the standards and procedures for Promotion and Continuing Appointment are applied fairly and uniformly. The CRC's recommendations provide additional guidance for the Provost and President when making recommendations and decisions on Promotion and Continuing Appointment.

4.2. Committee Responsibilities.

- 4.2.1. The CRC shall:
 - 4.2.1.1. Ensure that the procedures set out in these standards have been followed,
 - 4.2.1.2. Provide recommendations to the Provost on candidates' qualifications for Promotion and Continuing Appointment,
 - 4.2.1.3. Review ESF's Appointment, Promotion and Appointment, and Promotion and Continuing Appointment Policies, Procedures, and Standards at least every five (5) years and make recommendations to the President and Provost for amendments thereto,
 - 4.2.1.4. Provide advice and counsel to the President and Provost when they consider amendments to ESF's Appointment, Promotion and Appointment, and Promotion and Continuing Appointment Policies, Procedures, and Standards, and
 - 4.2.1.5. Review all departmental Promotion and Continuing Appointment standards at least every five (5) years or when a department is considering substantive changes to their Promotion and Continuing Appointment standards and procedures (see 2.1.1.3.1.) and make recommendations to appropriate DRC for amendments thereto.
- 4.2.2. The CRC Chair, in consultation with the DRC Chair, shall review the dossiers of candidates for Promotion and/or Continuing Appointment to ensure the dossiers meet the requirements set out in this document (see 7.1.2.5).
- 4.2.3. The CRC Chair shall hold the following meetings during the fall semester each year:
 - 4.2.3.1. A meeting for DRC Chairs to review the Promotion and Continuing Appointment process and their role in that process, and
 - 4.2.3.2. An open meeting for [faculty](#) who are scheduled to be reviewed for Promotion and/or Continuing Appointment that year.

4.3. Appointment and Composition of the CRC.

- 4.3.1. The Provost, in consultation with the respective Department Chairs, shall appoint one (1) member from each ESF academic department to the CRC.
- 4.3.2. CRC members must have the rank of Professor and may not be a Department Chair.
 - 4.3.2.1. In the event, a department does not have a Professor who meets the criteria for appointment to the CRC, the Provost in consultation with the Department's

Chair, shall appoint a Professor from another department to serve as that department's CRC member.

4.3.2.2. CRC members shall serve on their department's DRC.

4.3.2.3. It is preferable that CRC member does not chair their department's DRC.

4.3.3. CRC members shall serve three-year terms, with appointments designed to ensure staggered terms so that no more than three CRC members' terms end in any year.

4.3.4. In the event a CRC member is on sabbatical or otherwise unable to serve on the CRC, the Provost, in consultation with the respective Department Chair, shall appoint another faculty member to the CRC to serve the remaining portion of that term.

4.3.5. Each year, CRC members shall vote to elect a CRC chair. No CRC member shall serve as chair for more than three (3) consecutive years.

4.4. CRC Voting Procedures.

4.4.1. *Meeting.* CRC meetings may be conducted in person or by video conferencing (e.g., Zoom). Telephone conference calls shall not be allowed.

4.4.2. *Quorum.* Of the committee members eligible to vote on a given candidate, no more than two (2) may be absent to constitute a quorum. A quorum must be computed individually for each candidate.

4.4.3. *Candidates' Home Department CRC Members.* CRC members from candidates' home department(s) shall:

4.4.3.1. Not participate (i.e., must leave the meeting) in the CRC's discussion of such candidates' applications for Promotion and Continuing Appointment, and

4.4.3.2. Not vote on such candidates' applications for Promotion and Continuing Appointment when the CRC votes on applications.

4.4.3.3. However, if the CRC has questions regarding candidates' home department(s)' Promotion and Continuing Appointment standards and processes, the CRC may request clarification on those standards and processes from the CRC member from that department. Note: This is the only situation where CRC members from candidates' home department(s) may participate in the discussion of such candidates' applications for Promotion and Continuing Appointment.

4.4.4. *Abstentions.* No abstentions for reasons other than those described in this section (4.4.) are allowed.

4.4.5. *Recusal.* CRC members shall recuse themselves where a conflict of interest exists (see 1.2.3.). In such situations, this CRC member may not participate in the discussion or consideration of candidates' applications. Recused CRC members are not considered eligible voters for quorum calculations.

4.4.6. *Absentee Ballots.* No absentee ballots are allowed.

5. INITIAL APPOINTMENT

5.1. Process.

- 5.1.1. *Initial Appointments.* The President of the College with the advisement of the Provost, Department Chair, and Search Committee, makes initial Appointments to academic rank.
- 5.1.2. *Appointment Criteria.* The Search Committee, Department Chair, and Provost should only recommend candidates for an academic rank and/or Continuing Appointment that meet the standards for that rank and/or Continuing Appointment.

5.2. Initial Appointment of External Candidates (i.e., candidates not currently employed by ESF) as Associate Professor or Professor.

- 5.2.1. In most [faculty](#) searches, academic rank is predetermined in the position description. For (1) searches in which no single academic rank is prescribed, or (2) searches where the candidate recommended by the Search Committee requests an academic rank higher than that prescribed in the position description, the Department Chair (with advisement of the DRC via the process set out in 5.2.2.) will recommend the academic rank for the candidate to the Provost and President.
- 5.2.2. If a rank of Associate Professor or Professor is requested by the candidate, the department's DRC shall, within one week, (1) provide faculty with a rank at or [higher than the rank requested by the candidate](#) in the department in which the candidate will be appointed with a copy of the candidate's vita, (2) conduct a confidential written vote of those department faculty on the acceptability of appointment to the position requested by the candidate (i.e., Associate Professor or Professor), (3) review the candidate's application package, and (4) provide its recommendation on academic rank to the Department Chair. The DRC's recommendation will be included in the Chair's recommendation to the Provost and the President.

5.3. Initial Appointment of External Candidates (i.e., candidates not currently employed by ESF) with Continuing Appointment.

- 5.3.1. *Initial Appointment.* Continuing Appointment may be granted at the time of initial Appointment for individuals entering at the Associate Professor or Professor ranks.
- 5.3.2. For searches where the candidate recommended by the search committee requests Continuing Appointment, the Department Chair (with advisement of the DRC via the process set out in 5.3.3.) will recommend to the Provost and President whether the candidate should be granted Continuing Appointment.
- 5.3.3. If the candidate requests Continuing Appointment, the department's DRC shall, within one week, (1) provide faculty with a rank at or [higher than the rank requested by the candidate](#) in the department in which the candidate will be appointed with a copy of the candidate's vita, (2) conduct a confidential written vote of those department faculty on the acceptability of Continuing Appointment, (3) review the candidate's application package, and (4) provide its recommendation on Continuing Appointment to the

Department Chair. The DRC's recommendation will be included in the Chair's recommendation to the Provost and the President.

6. REVIEWS PRIOR TO AND AFTER PROMOTION AND/OR CONTINUING APPOINTMENT

6.1. Third-Year Review of Instructors and Assistant Professors (See [Figure 1](#) and [Appendix A-2](#) for timeline).

6.1.1. *Required Materials.* On or before January 10 of the third year from the initial Appointment, Instructors and Assistant Professors shall provide the DRC with their [dossier](#) (which must be organized according to the outline provided in [Appendix C](#)), including a signed memorandum summarizing their yearly work assignments during the [evaluative period](#) written by the Department Chair after consultation with the candidate, and co-signed by the Department Chair and the candidate (see [2.1.5.](#), [C.2.1.](#), and [Appendix F](#)).

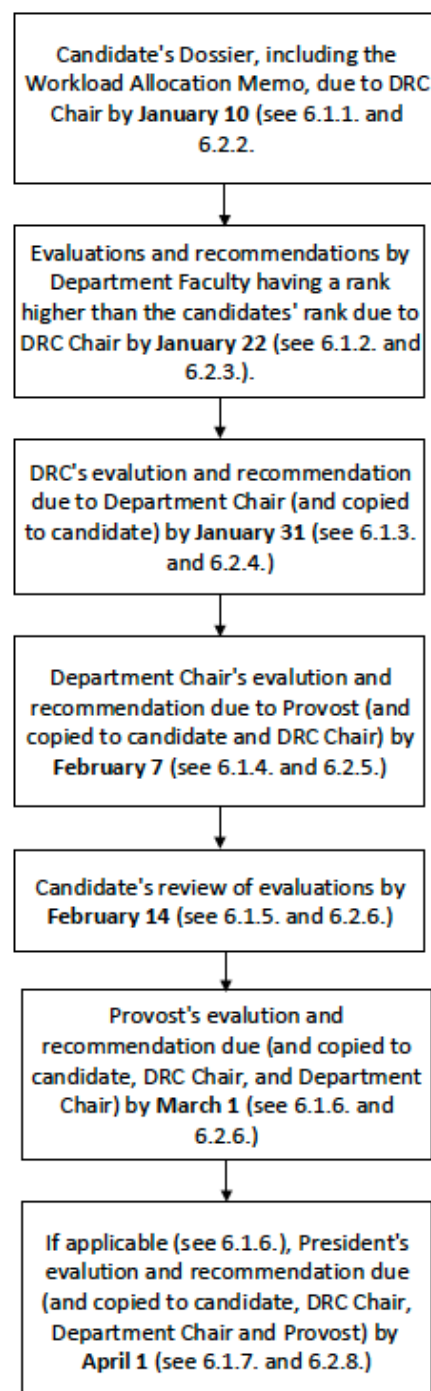
6.1.1.1. Candidates follow this section's timeline regardless of their appointment date in an academic year (e.g., candidates whose initial appointment commenced in a spring semester, shall submit their third-year review materials on or before January 10 of the 3rd academic year of the year of their initial appointment).

6.1.1.2. Unless required by Department Standards, External and Internal Reviews are not required for the third-year review of Instructors and Assistant Professors requesting reappointment.

6.1.1.3. Review of candidates having appointments in more than one department shall utilize the process set out in Appendix D.

6.1.2. *Department Faculty Review.* The DRC shall provide these materials to department [faculty](#) by January 12, and invite department faculty members having a [rank higher than the candidate](#) and not having a [conflict of interest](#) to provide the DRC with the following before January 22: (1) an evaluation addressing the candidate's progress towards meeting the standards (i) for Assistant Professor's future promotion to [Associate Professor](#) and [Continuing Appointment](#), or (ii) for Instructor's future Continuing [Appointment](#), and (2) a

Figure 1: Third-Year Review of Instructors and Assistant Professors (6.1.), and Instructors Requesting Appointment to Assistant Professors (6.2.)



recommendation on the candidate's reappointment as an Assistant Professor or Instructor.

- 6.1.3. *DRC Review.* The DRC shall review the candidate's Evaluative File (which includes the candidate's dossier, and department faculty's evaluations and recommendations) and prepare: (1) an evaluation addressing the candidate's progress towards meeting the standards for (i) Assistant Professor's future promotion to [Associate Professor](#) and [Continuing Appointment](#), or (ii) Instructor's future [Continuing Appointment](#), and (2) a recommendation on the candidate's reappointment as an Assistant Professor or Instructor. The DRC Chair shall add the DRC's evaluation and recommendation to the Evaluative File and forward it to the Department Chair by January 31 and concurrently copy the candidate.
- 6.1.4. *Department Chair Review.* The Department Chair shall review the candidate's Evaluative File and prepare: (1) an evaluation addressing the candidate's progress towards meeting the standards (i) for Assistant Professor's future promotion to [Associate Professor](#) and [Continuing Appointment](#) or (ii) for Instructor's future [Continuing Appointment](#), and (2) a recommendation on the candidate's reappointment as an Assistant Professor or Instructor, and if reappointment is recommended, the number of years for candidate's reappointment. The Department Chair shall add their evaluation and recommendation to the candidate's Evaluative File and forward it to the Provost by February 7 and concurrently copy the candidate and DRC Chair.
- 6.1.5. *Candidate's Review of Evaluations.* After receipt of the Department Chair's evaluation and recommendation, the candidate may prepare a written response to the DRC's and Department Chair's evaluations and recommendations. Any such response must be sent to the Provost's Office by February 14 and becomes part of the candidate's Evaluative File.
- 6.1.6. *Provost Review.* The Provost shall review the candidate's Evaluative File (including the candidate's response if provided) and prepare an: (1) evaluation addressing the candidate's progress towards meeting the standards (i) for Assistant Professor's future promotion to [Associate Professor](#) and [Continuing Appointment](#), or (ii) for Instructor's future [Continuing Appointment](#), and (2) if necessary, a recommendation on the candidate's reappointment as an Assistant Professor or Instructor, and if reappointment is recommended, the number of years for candidate's reappointment.
- 6.1.6.1. If the candidate needs to be reappointed, the Provost shall add their evaluation and recommendation to the candidate's Evaluative File and forward it to the President by March 1, and concurrently copy the candidate, DRC Chair, and Department Chair.
- 6.1.6.2. If the candidate does not need to be reappointed, the Provost shall provide their evaluation and recommendation to the candidate by March 1, and concurrently copy the DRC Chair, and Department Chair.
- 6.1.7. *President's Review.* If the candidate needs to be reappointed, the President shall review the candidate's Evaluative File and decide in favor of or against the candidate's

reappointment as Assistant Professor or Instructor. The President shall provide their decision on reappointment to the candidate by April 1, and concurrently copy the DRC Chair, Department Chair, and Provost.

6.2. Review of Instructors Requesting Appointment to Assistant Professor (See [Figure 1](#) and [Appendix A-2](#) for timeline).

- 6.2.1. *Approval and Timing.* Instructors may only request appointment as Assistant Professors (i) with written permission of the Provost, and (ii) after the Instructor has received Continuing Appointment.
- 6.2.2. *Initiation.* On or before January 10, candidates shall provide the DRC with the following: (2) their [dossier](#) (which must be organized according to the outline provided in [Appendix C](#)), including a signed memorandum summarizing their yearly work assignments for the [evaluative period](#) written by the Department Chair after consultation with the faculty member, and co-signed by the Department Chair and the faculty member (see [2.1.5](#), [C.2.1](#), and [Appendix F](#)); and (2) additional materials required by the department.
- 6.2.2.1. Unless required by Department Standards, External and Internal Reviews are not required for review of Instructors requesting appointment to Assistant Professors.
- 6.2.2.2. Review of candidates having Appointments in more than one department shall utilize the process set out in Appendix D.
- 6.2.3. *Department Faculty Review.* The DRC shall provide these materials to department [faculty](#) by January 12, and invite department faculty members having a [rank higher than the candidate](#) and not having a [conflict of interest](#) to provide the DRC with the following before January 22: (1) an evaluation addressing whether the candidate meets the [standards for appointment to Assistant Professor](#), and (2) a recommendation on the candidate's appointment to Assistant Professor.
- 6.2.4. *DRC Review.* The DRC shall review the candidate's Evaluative File (which includes the candidate's dossier and department faculty's evaluations and recommendations) and prepare: (1) an evaluation addressing whether the candidate meets the [standards for appointment to Assistant Professor](#), and (2) a recommendation on the candidate's appointment to Assistant Professor. The DRC Chair shall add the DRC's evaluation and recommendation to the Evaluative File and forward it to the Department Chair by January 31 and concurrently copy the candidate.
- 6.2.5. *Department Chair Review.* The Department Chair shall review the candidate's Evaluative File and prepare: (1) an evaluation addressing whether the candidate meets the [standards for appointment to Assistant Professor](#), and (2) a recommendation on the candidate's appointment to Assistant Professor. The Department Chair shall add their evaluation and recommendation to the candidate's Evaluative File and forward it to the Provost by February 7 and concurrently copy the candidate and DRC Chair.

- 6.2.6. *Candidate's Review of Evaluations.* After receipt of the Department Chair's evaluation and recommendation, the candidate may prepare a written response to the DRC's and Department Chair's evaluations and recommendations. Any such response must be sent to the Provost's Office by February 14 and becomes part of the candidate's Evaluative File.
- 6.2.7. *Provost Review.* The Provost shall review the candidate's Evaluative File (including the candidate's response if provided) and prepare an: (1) an evaluation addressing whether the candidate meets the [standards for appointment to Assistant Professor](#), and (2) a recommendation on the candidate's appointment to Assistant Professor. The Provost shall add their evaluation and recommendation to the candidate's Evaluative File and forward it to the President by March 1, and concurrently copy the candidate, DRC Chair, and Department Chair.
- 6.2.8. *President's Review.* The President shall review the candidate's Evaluative File and decide in favor of or against the candidate's appointment as Assistant Professor. The President shall provide their decision on reappointment to the candidate by April 1, and concurrently copy the DRC Chair, Department Chair, and Provost.

7. REVIEW FOR PROMOTION AND/OR CONTINUING APPOINTMENT

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

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

7.1.1.1. Application for Promotion and Continuing Appointment is the responsibility of the individual faculty member. Department Chairs, DRCs, and others may provide advisement, but the process may only be initiated by a candidate responding to the College's call for self-identification of candidates for Promotion and Continuing Appointment.

7.1.1.2. [Appendix A-1](#) provides the timeline for the Promotion and Continuing Appointment Process. [Appendix B](#) provides a flowchart summarizing the process.

7.1.2. *Candidate Dossier.*

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

7.1.2.2. The dossier *must be*:

7.1.2.2.1. Organized according to the outline provided in [Appendix C](#), and

7.1.2.2.2. One PDF file, named "[candidate's name] dossier".

7.1.2.3. The dossier must be submitted to the DRC Chair and the CRC Chair by September 30.

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

7.1.2.4.1. To add information to their [Evaluative File](#), candidates should send a memorandum or letter to the entity that possesses their Evaluative File at that time (e.g., DRC, Department Chair, CRC, Provost).

7.1.2.4.2. Upon receipt, the recipient of such new information shall add it to the candidate's: (1) [dossier](#), if received prior to the completion of the department's review, or (2) [Evaluative File](#), if received after the completion of the department's review.

7.1.2.5. CRC Chair and DRC Chair Review of Candidate's [Dossier](#).

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

7.1.2.5.2. If CRC Chair or the DRC Chair determines that the dossier fails to meet those requirements, they shall immediately notify the candidate (and send a copy to the DRC Chair or CRC Chair) by October 7 of the deficiencies or issues with their dossier. The candidate shall then have five (5) business days

to provide the CRC Chair and DRC Chair with a corrected dossier. If the candidate fails to correct their dossier, the CRC Chair and/or DRC Chair shall add a memorandum to the candidate's [Evaluative File](#) stating the deficiencies or issues with the candidate's dossier and documenting the CRC Chair's and/or DRC Chair's attempt to have the candidate address the deficiencies or issues.

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

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

7.2. Internal and External Evaluations.

7.2.1. Selection of Evaluators.

7.2.1.1. Professorial Candidates (i.e., Candidates for promotion to Associate Professor and Professor).

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

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

7.2.1.1.1.2. The DRC, in consultation with the Department Chair, shall initially select and solicit evaluations from at least eight (8) individuals; four (4) of these evaluators shall be from the candidate's list and four (4) shall not be from the candidate's list.

7.2.1.1.1.2.1. If the DRC or the CRC Chair determines some names on the candidate's list of external evaluators do not meet the criteria for evaluators (see 7.2.1.1.3.), the DRC Chair may request additional names be placed on the candidate's list.

7.2.1.1.1.2.2. If additional reviews are required to fulfill the requirements of 7.2.1.1.2. (below), the DRC, in consultation with the Department Chair, may choose (1) evaluators from the candidate's list, or (2) other evaluators.

7.2.1.1.2. Number of Evaluations Required. [Evaluative Files](#) must include written evaluations from at least four (4) external reviewers (and ideally more). At least two (2) of these evaluations shall not be by reviewers selected by the candidate.

- 7.2.1.1.3. Evaluators' Qualifications.
 - 7.2.1.1.3.1. Conflicts of Interest.
 - 7.2.1.1.3.1.1. Evaluators shall not have a [conflict of interest](#).
 - 7.2.1.1.3.1.2. Candidates shall not submit names of potential evaluators who may have a [conflict of interest](#).
 - 7.2.1.1.3.1.3. If the candidate becomes aware of a [conflict of interest](#) after submitting their [dossier](#), the candidate shall immediately disclose the conflict of interest to the DRC Chair.
 - 7.2.1.1.3.2. External evaluators must:
 - 7.2.1.1.3.2.1. Be recognized as leaders in the candidate's discipline of [scholarship](#),
 - 7.2.1.1.3.2.2. Not have regularly: (1) published with the candidate, or (2) applied for, or secured grants with, the candidate, and
 - 7.2.1.1.3.2.3. Be from [peer institutions](#).
 - 7.2.1.1.4. External Review of Associate Professors requesting Continuing Appointment. External reviews, in accordance with 7.2. are required for Associate Professors requesting Continuing Appointment.
- 7.2.1.2. Instructors.
 - 7.2.1.2.1. Candidates', DRC's, and Provost's Roles in the Selection of Evaluators.
 - 7.2.1.2.1.1. Upon submission of the dossier to the CRC Chair and DRC Chair, the candidate shall submit names of at least six (6) potential teaching evaluators having a rank of Associate Professor or Professor from *other* ESF Departments. The candidate may also identify up to ten (10) Associate Professors or Professors from other ESF Department who should be excluded as evaluators and include a brief justification for their exclusion.
 - 7.2.1.2.1.2. The DRC, in consultation with the Department Chair, shall initially select and solicit teaching evaluations from at least four (4) individuals; two (2) of these evaluators will be from the candidate's list and two (2) will be Associate Professors or Professors from other ESF Departments who are not from the candidate's list. If additional reviews are required to fulfill the requirements of 7.2.1.2.2., the DRC, in consultation with the Department Chair, may choose evaluators from the candidate's list or other evaluators.
 - 7.2.1.2.1.3. The ESF Associate Professors and Professors selected in accordance with 7.2.1.2.1.2. shall review the candidate's teaching for at least two classes. For each of the classes, the teaching evaluator shall: (i) review the teaching materials associated with those classes (e.g., course syllabus), (ii) conduct a pre-class meeting with the Instructor, (iii) conduct in-class observation of the Instructor, and (iv) have a post-class meeting to review the class observed. Based on this

information the teaching evaluators shall provide a written evaluation of the candidates teaching ability. This shall be added to the candidate's Evaluative File.

7.2.1.2.2. Number of Evaluations Required. [Evaluative Files](#) must include written evaluations from at least four (4) ESF teaching evaluator Associate Professors and/or Professors from other ESF departments (at least two (2) of these evaluations shall not be by reviewers selected by the candidate).

7.2.1.2.3. Conflicts of Interest.

7.2.1.2.3.1. Evaluators shall not have a [conflict of interest](#).

7.2.1.2.3.2. Candidates shall not submit names of potential evaluators who may have a [conflict of interest](#).

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

7.2.2. *Lists of Evaluators.* Prior to contacting external evaluators, the DRC Chair is required to email the CRC Chair: (1) the list of potential external reviewers provided by the candidate and (2) a list of additional potential external reviewers produced by the DRC. The DRC Chair shall include both of these lists in the candidate's Evaluative File.

7.2.3. *External and Department Evaluator Solicitation Procedure.*

7.2.3.1. The DRC Chair shall request evaluations and will accompany requests with: (1) the candidate's [dossier](#), (2) the College's and Department's standards for Promotion and Continuing Appointment, and (3) a "Solicited Materials Form."

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

7.2.3.3. DRC Chairs should instruct:

7.2.3.3.1. External evaluators to concentrate on: (1) candidates' [scholarly](#) productivity, significance, and reputation, and (2) where possible, candidate's [teaching](#) and University, College, Department, Professional and Public service productivity, effectiveness, and/or impact. [Appendix D](#) contains standardized requests for external reviews. While the use of these letters is recommended, DRC Chairs may amend the letters to meet individual circumstances.

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

7.2.4. *Solicited Materials Included in Evaluative File.*

7.2.4.1. Evaluations obtained through solicitation by the DRC are added to the [Evaluative File](#).

- 7.2.4.2. Evaluations received or solicited by the candidate, rather than the DRC, may *not* be included in the Evaluative File. However, the candidate may summarize and/or quote from these materials in the personal evaluation sections of the candidate's portfolios (see sections C.2.4., C.2.5., and C.2.6. of [Appendix C](#)).
- 7.2.5. *Handling of Solicited Materials.*
- 7.2.5.1. [Solicited materials](#) received by the DRC should have a "Solicited Materials Form" attached to the evaluation.
- 7.2.5.2. DRC members, Department Chairs, CRC members, and other Evaluative File reviewers shall review all solicited materials included in the Evaluative File. However, such reviewers shall not disclose information contained in the solicited material to any other parties at any time, except as allowed in this document.
- 7.2.5.3. Solicited materials may be shared with a candidate *only*: (1) following the Provost's review and prior to the President's review, and (2) if the evaluator has so indicated on the Solicited Materials Form.
- 7.2.5.4. If no form is returned with the solicited materials, it is presumed that the reviewer has not authorized the sharing of the evaluation with the candidate.
- 7.2.6. *Department Required Evaluations.* Evaluations required by a candidate's department shall be solicited in accordance with department standards and procedures. These evaluations should also include a Solicited Materials Form.

7.3. Review by Department Faculty.

- 7.3.1. Prior to the DRC review of the candidate's [Evaluative File](#) and prior to internal or external reviews being added to the candidate's Evaluative File, the DRC will: (1) provide the dossier to all department [faculty](#) members (including faculty members who are not of higher rank than the candidate), and (2) invite faculty having a rank higher (1.2.13.) than the candidate and not having a [conflict of interest](#) to review the [dossier](#). DRC members shall not participate in this review by department faculty since they have opportunities to provide input in the process when the DRC reviews the candidate's Evaluative File.
- 7.3.2. Following the distribution of the candidate's dossier to all department faculty members, the DRC will:
- 7.3.2.1. Request department [faculty](#) members having a [rank higher than the candidate](#) provide written evaluations of whether the candidate's accomplishments and activities have met the standards for Promotion and/or Continuing Appointment (faculty are not obligated to provide a written evaluation), and
- 7.3.2.2. Conduct a vote by confidential written ballot of department [faculty](#) members having a [rank higher than the candidate](#) on whether the action requested by the candidate should be granted.
- 7.3.3. Written evaluations and recommendations must be accompanied by a completed Solicited Materials Form and will be added to the Evaluative File.

7.4. DRC Review.

- 7.4.1. Following receipt of the written evaluations from departmental [faculty](#), DRC members having [rank higher than the candidate](#) shall review the [Evaluative File](#), including internal and external evaluations, and prepare a *substantive and independent* recommendation for submission to the Department Chair. The DRC's recommendation shall: (1) summarize the strengths and weaknesses of the candidate's case in relation to the College's and department's standards; (2) summarize external and internal reviews, noting any differences between reviews supplied by evaluators selected by the candidate and reviewers selected by the DRC Chair; and (3) include the tally of department faculty members' votes and DRC members' votes for the action(s) requested by the candidate.
- 7.4.2. The DRC may request that the candidate provide additional information to clarify issues or questions raised by internal or external reviewers or DRC members. The candidate shall have three (3) business days to provide written clarification.
- 7.4.2.1. If the candidate responds within three (3) days, the DRC's request for additional information and the candidate's written clarification shall be added to and become part of the candidate's Evaluative File.
- 7.4.2.2. If the candidate fails to respond, the candidate is deemed to have waived their right to respond, and the DRC Chair shall add a memorandum to the candidate's Evaluative File describing the additional information requested by the DRC and why it was requested.
- 7.4.3. The DRC's recommendation will be added to the Evaluative File, forwarded to the Department Chair, and concurrently copied to the candidate.
- 7.4.4. If the Department Chair is being reviewed for Promotion and/or Continuing Appointment, the Evaluative File will pass directly from the specially appointed *ad hoc* DRC (see 3.5.) to the CRC without Department Chair review.

7.5. Department Chair Review.

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

7.6. CRC Review.

- 7.6.1. The CRC shall prepare a *substantive and independent* recommendation that (i) includes the tally of votes of the eligible CRC members who are present and eligible to vote at the meeting, and (ii) based on the information in the Evaluative File, describes the candidate's strengths and issues of concern that support the CRC's recommendation for or against Promotion and/or Continuing Appointment.
- 7.6.2. If during its review the CRC determines that one or more significant procedural errors have occurred in prior stages of review of the candidate's file, the CRC Chair shall immediately notify the Provost and the President. The Provost and the President shall then decide how the review of the candidate's file shall continue.
- 7.6.3. The CRC's recommendation will be added to the Evaluative File, forwarded to the Provost, and concurrently copied to the candidate, Department Chair, and DRC Chair.

7.7. Provost Review.

- 7.7.1. The Provost shall provide a *substantive and independent* review of the Evaluative File and prepare an independent recommendation for submission to the President.
- 7.7.2. The Provost's recommendation will be added to the Evaluative File, forwarded to the President, and concurrently copied to the candidate, ESF Office of Human Resources, CRC Chair, Department Chair, and DRC Chair.

7.8. Candidate Review of Evaluative File.

- 7.8.1. When the Provost's recommendation is added to the Evaluative File, the candidate shall be notified that they have seven (7) business days to review and respond to the Evaluative File.
- 7.8.2. The candidate shall not be allowed to review the portions of the Evaluative File that have been designated as confidential.
- 7.8.3. If the candidate wishes, they may prepare a written response to the reviewed materials. Candidates should refer directly to the SUNY and UUP Agreement for details.
- 7.8.4. The candidate's response must be provided to the ESF Office of Human Resources within seven (7) business days of the candidate being notified that they may review the Evaluative File (see 7.8.1.). The Office of Human Resources shall append the candidate's response to the Evaluative File.

7.9. Presidential Review and Decision and/or Recommendation.

- 7.9.1. The President will receive the Evaluative File after the period for the candidate's review and written response ends (see 7.8.3.).
- 7.9.2. The President will review the Evaluative File and decide in favor of or against the candidate's request for Promotion and/or Continuing Appointment.
- 7.9.3. The decision to Promote a faculty member is the President's decision. For Continuing Appointment, the President's recommendation is forwarded to the Chancellor for a decision.

- 7.9.4. The President shall notify the candidate of their decision regarding Promotion and/or their recommendation regarding Continuing Appointment and concurrently send a copy of their decision and/or recommendation to the Provost, CRC Chair, Department Chair, and DRC Chair.
- 7.9.5. The candidate may request the reasons for the President's decision and/or recommendation within ten (10) business days of receiving notification of it (see SUNY and UUP Agreement).

7.10. APPEALS

7.10.1. Promotion.

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

7.10.2. Continuing Appointment.

- 7.10.2.1. The candidate may appeal a negative recommendation by the President to the Chancellor of the State University of New York, based on:
- 7.10.2.1.1. An alleged procedural error (see SUNY and UUP Agreement), or
- 7.10.2.1.2. Other reasons specified in the SUNY and UUP Agreement.
- 7.10.2.2. Appeals may not be filed on other grounds.
- 7.10.2.3. Such appeals shall follow the Grievance Procedure outlined in the Agreement between SUNY and UUP.

APPENDIX A: TIMELINES

APPENDIX A-1: TIMELINE FOR PROMOTION AND CONTINUING APPOINTMENT REVIEW

A.1. Academic Year Prior to Review

April 1: Office of Human Resources provides the Provost and Department Chairs rosters of [faculty](#) members who must be reviewed for Continuing Appointment in upcoming review cycle.

April 7: Department Chairs notify in writing (1) faculty who must be reviewed for Continuing Appointment in the upcoming review cycle, and (2) all faculty of the deadline to apply for Promotion and/or Continuing Appointment review in the upcoming review cycle.

April 21: Faculty member notifies Department Chair requesting consideration for Promotion and/or Continuing Appointment in the upcoming review cycle.

April 28: Department Chairs send Provost department's rosters of candidates to be reviewed for Promotion and/or Continuing Appointment in the upcoming review cycle.

June 1: Provost's Office sends a complete roster of all candidates to be reviewed in the upcoming review cycle to the current CRC Chair.

A.2. Academic Year of Review

September 30: Candidates' [dossiers](#) due to CRC Chair and DRC Chair for review to ensure compliance with these Standards and Procedures (see 7.1. and 7.2.). Candidates must include a written list of prospective external and/or internal evaluators (see 7.2.).

October 7: DRC Chair sends (1) their list of potential external reviewers, and (2) the candidates' list of potential reviewers to the CRC Chair for review. These lists should include the potential reviewer's name, rank/position, and employer (see 7.2.).

October 12: CRC Chair provides feedback to DRC Chair regarding the appropriateness of external reviewers (see 7.2.).

October 14: DRC Chair solicits letters from external and/or internal evaluators for candidates for Promotion and/or Continuing Appointment (see 7.2.).

December 15: External and/or internal evaluations due to DRC Chair.

January 22: Evaluations and recommendations from faculty having [a rank higher than the candidate's rank](#) due to the DRC Chair (see 7.3.).

January 31: DRC evaluation, recommendation, and other Evaluative File materials due to Department Chair (and concurrently copied to the candidate) (see 7.4.).

February 7: Department Chairs' evaluation, recommendation, and other Evaluative File materials due to CRC (and concurrently copied to the candidate and the DRC Chair) (see 7.5.).

March 1: CRC's evaluation, recommendation, and Evaluative File materials due to the Provost (and concurrently copied to the candidate and the DRC Chair and Department Chair) (see 7.6.).

March 20: Provost's evaluation and recommendation are added to the Evaluative File and sent to the Office of Human Resources and President, and copies are sent to candidate, DRC Chair, CRC Chair, and Department Chairs (see 7.7.). Candidates are invited to review Evaluative File and comment (see 7.8.).

April 1: The Office of Human Resources adds the Candidate's response, if there is one, to the Evaluative File and sends the Evaluative File to the President (see 7.9.).

A.3. Weekend Dates

A.3.1. If any of the dates above fall on a weekend, the due date is extended to the following Monday.

**APPENDIX A-2: TIMELINE FOR:
THIRD-YEAR REVIEW OF ASSISTANT PROFESSORS AND INSTRUCTORS (SEE 6.1.), AND REVIEW
OF INSTRUCTORS REQUESTING PROMOTION TO ASSISTANT PROFESSOR (SEE 6.2.)**

A.1. Academic Year of Review

January 10: Candidate's dossier (including signed memorandum summarizing the candidate's yearly work assignment during the evaluative period written by the Department Chair & co-signed by the candidate) due to DRC Chair for review (see 6.1.1. and 6.2.2.)

January 12: DRC provides the dossier to the department faculty and invites faculty having a [rank higher than the candidate's rank](#) to provide the DRC with: (1) a confidential evaluation addressing the candidate's progress towards meeting the standards for Promotion/Continuing appointment, and (2) a recommendation on the candidate's requested action (see 6.1.2. and 6.2.3.).

January 22: Department faculty evaluations and recommendations due to the DRC (see 6.1.2. and 6.2.3.).

January 31: DRC evaluations and recommendations due to Department Chair, with a copy to the candidate (see 6.1.3. and 6.2.4.).

February 7: Department Chair evaluations and recommendation due to Provost, with a copy to the candidate and the DRC Chair (see 6.1.4. and 6.2.5.).

February 14: If they wish, the candidate can send the Provost a written response to the DRC's and Department Chair's evaluations and recommendations (see 6.1.5. and 6.2.6.).

March 1: Provost's evaluation and recommendations are added to the Evaluative File, with a copy to the candidate, DRC Chair, and Department Chair (see 6.1.6. and 6.2.7.).

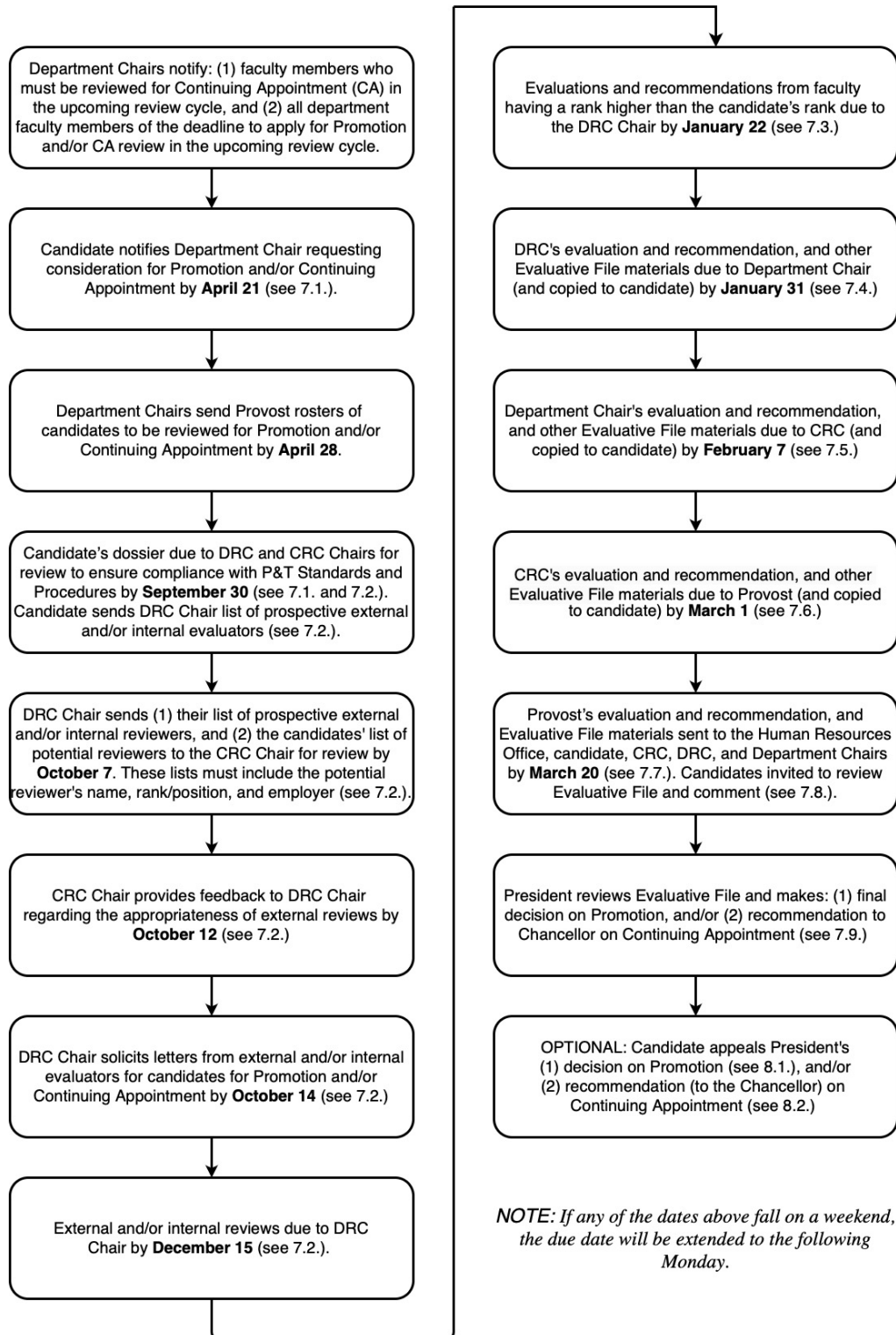
April 1: Presidential decision on (i) Third Year review of Assistant Professors requiring reappointment, and (ii) Instructors requesting promotion to Assistant Professor sent to candidates, sent to candidate, with a copy to the Provost, Department Chair, and DRC Chair (see 6.1.7. and 6.2.8.).

A.2. Weekend Dates

A.2.1. If any of the dates above fall on a weekend, the due date is extended to the following Monday.

APPENDIX B: ESF PROMOTION AND CONTINUING APPOINTMENT PROCESS

See section 7 for a comprehensive description of the process, including who (e.g., candidate, DRC Chair) should be sent copies of evaluations and recommendations at each stage of the process.



APPENDIX C: CANDIDATES' EVALUATIVE FILES

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

C.1. CANDIDATE'S EVALUATIVE FILE

C.1.1. Dossier Prepared by Candidate.

- C.1.1.1. Cover Page, that describes the candidate's
 - C.1.1.1.1. Status, and
 - C.1.1.1.2. Requested action (i.e., Reappointment, Promotion, and/or Continuing Appointment).
- C.1.1.2. Department Chair's Memorandum signed by the Department Chair and the candidate (see C.2.1. below),
- C.1.1.3. Candidate's Statement (see C.2.2. below),
- C.1.1.4. Prior Reviews (see C.2.3. below),
- C.1.1.5. Candidate's Response to Prior Reviews (see C.2.4. below),
- C.1.1.6. *Curriculum Vitae* (CV) (see C.2.5. below),
- C.1.1.7. Scholarship Portfolio (see C.2.6. below),
- C.1.1.8. Teaching Portfolio (see C.2.7. below),
- C.1.1.9. Service Portfolio (see C.2.8. below), and
- C.1.1.10. Department Required Portfolio. This includes materials *required* by the candidate's department that is not included in C.1.1.7., C.1.1.8., or C.1.1.9.

IMPORTANT: (1) The dossier should be one PDF file that is named "[candidate's last name] Dossier" (e.g., "Smith Dossier"), and (2) no other materials may be included in the candidate's dossier.

C.1.2. Materials added to the Evaluative File as Received:

- C.1.2.1. List of (1) candidate's potential external reviewers, and (2) DRC's potential external reviewers,
- C.1.2.2. Solicited evaluations and recommendations by external or internal evaluators, and/or unit directors,
- C.1.2.3. Evaluations and recommendations required by the candidate's department and solicited by the DRC,
- C.1.2.4. Evaluations and recommendations by departmental faculty,
- C.1.2.5. The DRC's evaluation and recommendation,
- C.1.2.6. The Department Chair's evaluation and recommendation,
- C.1.2.7. The CRC's evaluation and recommendation, and
- C.1.2.8. The Provost's evaluation and recommendation.

C.1.2.9. If provided, the candidate's response to the Provost's evaluation and recommendation.

IMPORTANT: All materials added to the Evaluative File shall be (1) separate files, and (2) named in accordance with the following naming convention:

“candidate's last name – reviewer”. For example, if the candidate's last name is Smith, (a) an external review by someone with the last name of Jones would be named “Smith – Jones External Review”, (b) Smith's DRC review would be named “Smith – DRC Review”.

C.2. SPECIFICATIONS FOR CANDIDATE'S DOSSIER.

C.2.1. Department Chair's Memorandum.

C.2.1.1. This memorandum summarizes the candidate's yearly work assignments for the [Evaluative Period](#) (in accordance with the sample memorandum in [Appendix F](#)). It is written by the Department Chair after consultation with the candidate and co-signed by the Department Chair and the candidate. At a minimum, it should specify the percentage of the candidate's work assignment allocated each year, as applicable, to: (1) [teaching](#); (2) [scholarship](#); (3) [university, college, department, professional, and public service, if applicable](#); and (4) [administrative service, if applicable](#).

C.2.1.2. If the candidate's work assignment has changed during the [Evaluative Period](#), the Department Chair's signed memorandum shall describe the period covered for each of the work assignments.

C.2.2. Candidate's Statement. The candidate should prepare a statement that explains how the candidate's accomplishments and activities meet the College's and department's standards for Promotion and/or Continuing Appointment.

C.2.2.1. For third-year review of Assistant Professors and Instructors, this statement shall be **no more than two (2) single-spaced pages** in length.

C.2.2.2. For Promotion and/or Continuing Appointment reviews, this evaluation shall be **no more than three (3) single-spaced pages** in length.

C.2.3. Prior Reviews. The candidate should provide copies of prior ESF-based Department Chair, DRC, CRC and/or Provost reviews required by ESF's Promotion and Continuing Appointment Standards and Procedures provided to the candidate.

C.2.3.1. If the candidate is an Assistant Professor, they should include *all* such ESF-based reviews since their initial appointment at ESF.

C.2.3.2. If the candidate is an Associate Professor, they should include *all* reviews since their appointment as an Associate Professor.

C.2.4. Candidate's Response to Reviews. The candidate should prepare a statement, no more than two (2) pages in length, explaining how the candidate responded to *all* prior ESF-based

reviews (see C.2.3.). The candidate's response should specifically address *all* weaknesses, deficiencies, and issues of concern noted in those reviews.

C.2.5. Curriculum Vitae (CV). A candidate's CV should include the following, in this order (note: candidates should only include those items required by and recognized in their Department's Promotion and Tenure Standards and Procedures):

C.2.5.1. **Education** (institutions, degrees granted, dates);

C.2.5.2. **Employment** (institutions, positions, dates);

C.2.5.3. **Awards.** Awards and honors received (with dates);

C.2.5.4. **Courses.** Courses taught (by year and semester);

C.2.5.5. **Publications.** Two lists of publications (i.e., journal articles, books, book chapters, proceedings) with one list for peer-reviewed publications and one list for non-peer-reviewed publications;

C.2.5.5.1. For each publication, the candidate must:

C.2.5.5.1.1. Provide the (1) date, (2) names of all authors in their order in the publication, (3) title of article, and (4) journal name,

C.2.5.5.1.2. Classify the publication as: published, in press, accepted, or under review, and

C.2.5.5.1.3. Indicate with (1) an asterisk any author that was an ESF graduate student and (2) an underline any author that was an ESF undergraduate student.

C.2.5.5.2. For each peer-reviewed publication, the candidate must provide the journal's impact factor.

C.2.5.6. **[Creative Endeavors and Works.](#)** If the candidate's Department Standards address Creative Endeavors and Works, for each work include the (1) creator(s) of the work, (2) date, (3) name of work, and (4) type of work (e.g., professional commission);

C.2.5.7. **Presentations.** For each presentation, include (1) the title of presentation, date, and conference/location, and (2) if invited, proposed and accepted, or accepted with no review process. Indicate with an asterisk any author that was a graduate student for whom the candidate served as (co-)major professor;

C.2.5.8. **Grants.** Research and [Creative Endeavors and Works](#) grants funded (including traditional grants, fellowships, scholarships, supported residences, waiver of commission fees), including (1) date, (2) Principal Investigator, Co-Principal Investigator(s) and/or recipient(s) in their order in the proposal/award, (3) title, (4) funder, and (5) total dollar amount or value of grant (for multi-institutional grants include ESF's share of funding);

C.2.5.9. **Patents and licenses** (if applicable);

C.2.5.10. **Service.** Department, College, University, Professional, and Public service (with dates); and

C.2.5.11. **Administration.** [Administrative service](#) (with dates).

C.2.6. Scholarship Portfolio. The [Scholarship](#) portfolio should demonstrate mastery of the candidate's subject area and continued professional growth, as well as discipline-specific accomplishments, such as developing and executing significant research programs. Evidence of many scholarly activities (e.g., lists of publications and presentations) can be found in the candidate's CV, and thus are not required to be reproduced here. Note: candidates should only include those items required by and recognized in their Department's Promotion and Tenure Standards and Procedures. The Scholarship portfolio should include the following sections.

C.2.6.1. Personal Evaluation. A personal evaluation of scholarship, including an in-depth description of what the candidate considers to be their: (1) most significant accomplishments, and (2) impact and contribution to:

C.2.6.1.1. Science (i.e., what their research has found and how their findings have contributed to society's scientific knowledge),

C.2.6.1.2. Creativity, inventiveness, and originality (i.e., how their creative endeavors have stimulated their profession's and/or the public's thoughts, perceptions, and feelings), and/or

C.2.6.1.3. Management of natural and/or human systems.

C.2.6.1.4. Length of Personal Evaluation

C.2.6.1.4.1. For third-year review of Assistant Professors and Instructors, this evaluation shall be **no more than three (3) single-spaced pages** in length.

C.2.6.1.4.2. For Promotion and/or Continuing Appointment reviews, this evaluation shall be **no more than five (5) single-spaced pages** in length.

C.2.6.2. Publications. A table listing (1) the total number of peer-reviewed and non-peer-reviewed publications, (2) the number of peer-reviewed and non-peer-reviewed publications since their initial appointment at their current rank, and (3) overall publication metrics such as their "h-index" or other citation metrics. The source of each index should be provided (e.g., Google Scholar, Web of Science, Scopus). Note: only a table listing these items is required because the candidate's *curriculum vita* provides details on these publications (see C.2.5.5.).

C.2.6.3. [Creative Endeavors and Works](#). If the candidate's Department Standards address Creative Endeavors and Works, a table listing (1) the total number of Creative Endeavors and Works, and (2) the number of Creative Endeavors and Works since their initial appointment at their current rank. Note: only a table listing these items is required because the candidate's *curriculum vita* provides details on these Endeavors and Works (see C.2.5.6.).

C.2.6.4. Grants.

C.2.6.4.1. *Funded Research Grants.* A table listing funded research grants and contracts, including the: (1) date, (2) candidate's role (e.g., PI, Co-PI, consultant, etc.), (3) funder, (4) total funding and ESF's share of funding, (5) candidate's estimated percentage effort based on total funding amount allocated to ESF (i.e., if all ESF-

based investigators' efforts equal 100%, what percentage of that effort will the candidate contribute?), and (6) number of semesters/summers of support provided to undergraduate and graduate students, post-docs, and technicians.

- C.2.6.4.2. *Other Funded Scholarship-based Grants.* If the candidate's Department Standards address Creative Endeavors and Works, a list of funded grants that supported [creative endeavors and works](#) (such as traditional grants, fellowships, scholarships, supported residences, waiver of commission fees), including the (1) date, (2) candidate's role (e.g., PI, Co-PI, consultant, etc.), (3) funder, (4) total funding and ESF's funding, (5) candidate's estimated percentage effort based on total funding amount allocated to ESF (i.e., if all ESF-based investigators' efforts equal 100%, what percentage of that effort will the candidate contribute?), and (6) number of semesters/summers of support provided to undergraduate and graduate students, post-docs, and technicians.
- C.2.6.4.3. *Grant Proposals Under Review.* A table listing grant applications under review that if funded in the future would be included in C.2.6.4.1. and C.2.6.4.2, including: (1) date, (2) candidate's role (e.g., PI, Co-PI, consultant, etc.), (3) funder, (4) total funding and ESF's funding, (5) candidate's estimated percentage effort based on total funding amount allocated to ESF (i.e., if all ESF-based investigators' efforts equal 100%, what percentage of that effort the candidate will contribute), and (6) number of semesters/summers of support provided to undergraduate and graduate students, post-docs, and technicians.
- C.2.6.4.4. *Unfunded Grant Proposals.* A table listing grants that were submitted but not funded (that if funded would be included in C.2.6.4.1. and C.2.6.4.2.), including: (1) date, (2) candidate's role (e.g., PI, Co-PI, consultant, etc.), (3) funder, (4) total funding and ESF's funding, (5) candidate's estimated percentage effort based on total funding amount allocated to ESF (i.e., if all ESF-based investigators' efforts equal 100%, what percentage of that effort the candidate will contribute), and (6) number of semesters/summers of support provided to undergraduate and graduate students, post-docs, and technicians.
- C.2.6.5. **Presentations.** A table listing the (1) total number of professional presentations, and (2) number of professional presentations since their initial appointment at their current rank.
- C.2.6.6. **Graduate Students and Undergraduate Honors Students.** A table of: (1) the names of current graduate students (e.g., MLA, MF, MPS, MS, and PhD.) and those who graduated during the Evaluative Period, (2) their degree program (e.g., MLA, MF, MPS, MS, and PhD.) and department (e.g., GPES, EB), (3) for professional master's degree students (e.g., MLA, MF, and MPS) their capstone project names (if appropriate), and (4) for MS, PhD, and undergraduate honors students, their thesis/dissertation titles. If a candidate served as the co-major professor for graduate student or undergraduate honors student, the name of the other co-major professor should be included in this table.

- C.2.6.7. **Graduate Student Committees.** A table of: (1) the names of current graduate students (e.g., MLA, MF, MPS, MS, and PhD) and those who graduated during the Evaluative Period, (2) their degree program (e.g., MLA, MF, MPS, MS, and PhD.) and department (e.g., GPES, EF), and (3) the name of their Major Professor(s).
- C.2.6.8. **Post-Doctoral Scholars.** A list of: (1) the names of ESF-based post-doctoral scholars supervised by the candidate during the Evaluative Period, and (2) their publications.
- C.2.6.9. **Reviews.** A list of the total number of (1) manuscript reviews, (2) research proposals reviews, (3) external (non-ESF) promotion and tenure reviews, and (4) other reviews, during the Evaluative Period.
- C.2.6.10. **Editorships.** A table of peer-review journal associate or assistant editorships, including (1) the candidate's area of responsibility, (2) the years of service, (3) number of manuscript reviews supervised each year, and (4) the journal's impact factor.
- C.2.6.11. **Other Evidence of Scholarship.** A list of: (1) patents pending and awarded, (2) appointments to national and international committees, (3) licensing or certification by professional organizations, and (4) book editorial service.
- C.2.6.12. **Scholarship Enhancement.** A list, no more than one page long, summarizing actions taken to learn new concepts and techniques (e.g., professional workshops, classes, sabbatical leaves or involvement in professional societies and meetings).

C.2.7. Teaching Portfolio. The [Teaching](#) portfolio should demonstrate contributions and effectiveness in teaching and should include the following sections.

- C.2.7.1. **Personal Evaluation.** A personal evaluation of teaching that includes (if applicable): (1) efforts to improve teaching skills, (2) new courses developed, (3) collaborative efforts with other faculty in teaching activities, (4) innovations in teaching, (5) efforts to increase or ensure a high level of (a) inclusion in teaching activities, and (b) diversity and equity in teaching materials, and (6) where relevant, efforts to ensure student safety (e.g., safety in laboratories and field-based courses).
- C.2.7.1.1. For third-year review of Assistant Professors and Instructors, this evaluation shall be **no more than three (3) single-spaced pages** in length.
- C.2.7.1.2. For Promotion and/or Continuing Appointment reviews, this evaluation shall be **no more than five (5) single-spaced pages** in length.
- C.2.7.2. **Courses Taught.** A table summarizing: (1) courses taught (including independent studies), (2) credit hours, (3) semester and year of each course, and (4) enrollments since the candidate's initial Appointment.
- C.2.7.3. **Course Content.** A short description **no more than one (1) single-spaced page** long for each course, including a list (if applicable) of: (1) key concepts, (2) skills taught, and (3) special features.
- C.2.7.4. **Student Evaluations.** A table summarizing end-of-course student surveys for the [Evaluative Period](#) that includes by course by semester: (1) average summary

quantitative score, (2) number of students in course, and (3) number and percentage of students completing the survey.

C.2.8. University, College, Department, and Professional and Public Service Portfolio.

This portfolio should demonstrate contributions and effectiveness in service, and should include:

C.2.8.1. Personal Evaluation. A personal evaluation of the candidate's University, College, Department, Professional, and Public service that includes a description of what the candidate considers to be their most significant accomplishments and impact.

C.2.8.1.1. For third-year review of Assistant Professors and Instructors, this evaluation shall be **no more than three (3) single-spaced pages** in length.

C.2.8.1.2. For Promotion and/or Continuing Appointment reviews, this evaluation shall be **no more than five (5) single-spaced pages** in length.

C.2.8.2. University, College, and Department Service. The [University, College, and Department Service](#) section demonstrates effective participation and leadership in furthering the mission of the University, College, and Department. The section should include:

C.2.8.2.1. *Undergraduate Advising.* A table summarizing the number of undergraduate students advised by year and major;

C.2.8.2.2. *Graduate Student Committee Chair.* A table of graduate student committee chair assignments, including (1) the name of the student, (2) the student's department (e.g., GPES, EB), and (3) student's degree program (e.g., MLA, MF, MPS, MS, or PhD). If the student was enrolled in a PhD program, whether the candidate chaired a candidacy committee or dissertation committee.

C.2.8.2.3. *Service Committees.* A list of University, College, or Department committee membership and chair assignments; and

C.2.8.2.4. *ESF Promotional Efforts.* A list of significant activities (e.g., representing a department at an ESF Open House, representing ESF at the New York State Fair) that: (1) promote ESF and its programs, and (2) enhance student recruitment and retention at ESF.

C.2.8.3. Professional and Public Service. The [Professional and Public Service](#) section demonstrates: (1) effective participation in public service, and/or (2) leadership in furthering the candidate's professional discipline. The section should include:

C.2.8.3.1. *Service Activities.* A list of public service and outreach activities aimed at off-campus and non-peer audiences (e.g., public presentations);

C.2.8.3.2. *Committee Leadership.* A list of leadership of national scientific and/or professional societies' major committees (e.g., science, publication, and policy committees); and

C.2.8.3.3. *Board Service.* A list of national or state governments' advisory, review, or other boards the candidate has chaired (e.g., NSF panels, government task forces).

C.2.9. Administrative Service Portfolio (if part of the Candidate's workload allocation).

The [Administrative Service](#) portfolio demonstrates effective leadership in major administrative responsibilities. The section should include the following sections.

C.2.9.1. **Personal Evaluation.** A personal evaluation of the candidate's Administrative Service that includes a description of what the candidate considers to be their most significant accomplishments and impact.

C.2.9.1.1. For third-year review of Assistant Professors and Instructors, this evaluation shall be **no more than three (3) single-spaced pages** in length.

C.2.9.1.2. For Promotion and/or Continuing Appointment reviews, this evaluation shall be **no more than five (5) single-spaced pages** in length.

C.2.9.2. **Appointments.** A list of administrative appointments (such as Faculty Governance chair, Department Chair, and other positions where the candidate has direct supervisory responsibility of one or more ESF employees) and accomplishments.

APPENDIX D: REVIEW OF CANDIDATES WITH APPOINTMENTS IN MULTIPLE DEPARTMENTS

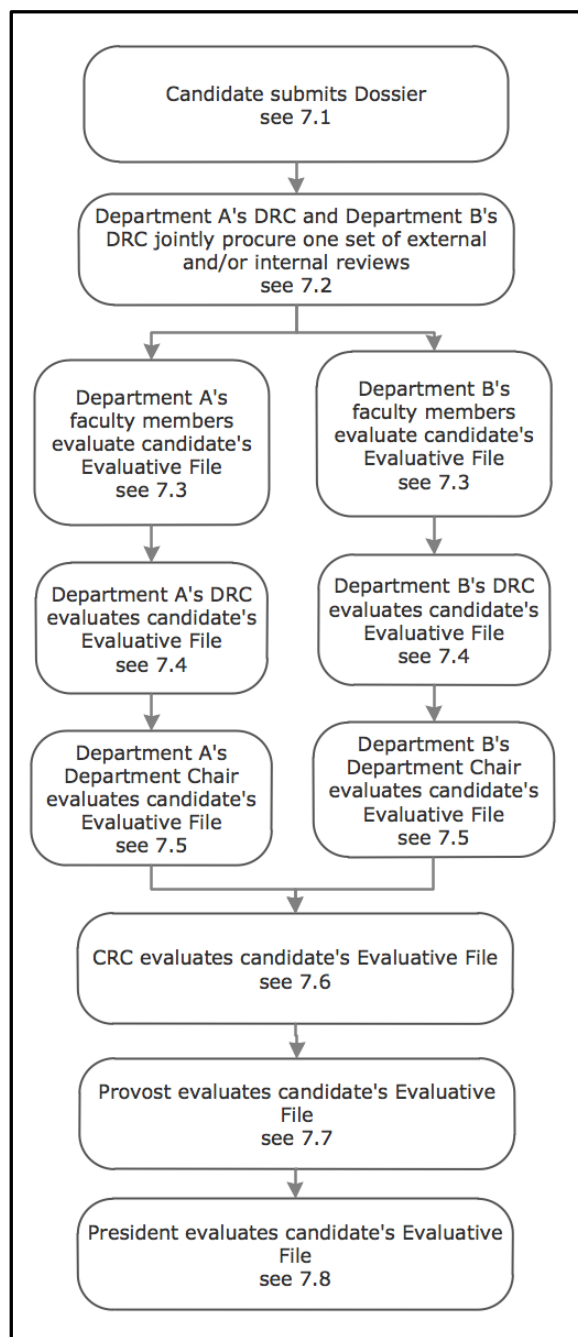
D.1. Promotion and/or Continuing Appointment Reviews.

D.1.1. Review of candidates for Promotion and/or Continuing Appointment having Appointments in more than one department shall utilize the process set out in [Section 7](#) for all departments in which the candidate has an Appointment, except that the candidate's departments' DRCs shall coordinate to procure a single set of external and/or internal reviews (in accordance with section [7.2](#)) to be used jointly by the coordinating DRCs. In other words, the candidate's [Dossier](#) and [Evaluative File](#) shall be reviewed by each department's [faculty](#) members having a [rank higher than the candidate](#) (see [7.3](#)), DRC (see [7.4](#)), and Department Chair (see [7.5](#)), before being forwarded to the CRC (see [7.6](#)) (see [Figure D.1](#)).

D.2. Prior to and After Promotion and/or Continuing Appointment Reviews and Assessments.

D.2.1. All other reviews and assessments of candidates (e.g., [6.1](#), and [6.2](#)) having Appointments in more than one department shall utilize the process set out in [Section 6](#) for all departments in which the candidate has an Appointment, except that the candidate's departments' DRCs shall coordinate to procure a single DRC and Department Chair review or assessment. In other words, the candidate's [Dossier](#) and [Evaluative File](#) shall be reviewed by each department's DRC, Department Chair, and if appropriate, [faculty](#) members having a [rank higher than the candidate](#).

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



APPENDIX E: EXTERNAL REVIEWER REQUEST

APPENDIX E-1: E-MAIL SOLICITATION

Request for Tenure and Promotion Evaluation

Dear _____,

We hold your opinion of scholarship and academic excellence in high esteem and ask for your insights on an important Continuing Appointment (tenure) and promotion¹ decision.

Would you consider evaluating the tenure and promotion package of Dr. _____, an Assistant Professor² at the SUNY College of Environmental Science and Forestry (ESF) (http://www.esf.edu/___/_____)?³

If you agree, you will have until mid-December 20__ to review the candidate's dossier, which would be sent to you as a PDF file along with the candidate's department and ESF's standards and procedures for promotion and tenure.

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

Best wishes,

¹ Adjust accordingly for candidates only being reviewed for Promotion or Continuing Appointment.

² Adjust accordingly for candidates who are Associate Professors.

³ Add address for candidate's ESF webpage.

APPENDIX E-2: LETTER

Dear _____:

Thank you for agreeing to evaluate _____'s credentials for promotion to the rank of Associate Professor and Continuing Appointment (tenure)⁴ at the State University of New York College of Environmental Science and Forestry (SUNY ESF). Dr. _____ is currently an Assistant Professor⁵ on an academic year appointment within the Department of _____. Their negotiated time allocation is summarized in a memorandum written by the Department Chair in the file. Please consider the percentage allocations in that memorandum in your evaluation.

We seek your professional judgment of the impact and quality of Dr. _____'s scholarly and other contributions *relative to similarly ranked professionals in their discipline(s)*. In your evaluation, please address each of the following points:

1. The nature and length of any relationship you have had with _____, including any potential conflicts of interest.
2. Your judgment of the candidate's scholarly and other accomplishments, including the productivity, quality, and significance to the profession of the candidate's research and publications.
3. Your recommendation regarding Dr. _____'s request for promotion to Associate Professor with tenure⁶ based on the SUNY ESF and _____ standards and procedures.
4. Your opinion of whether Dr. _____ would be granted promotion to Associate Professor with tenure within your institution.⁷

I have enclosed Dr. _____'s dossier and a copy of the UUP/SUNY Agreement Article 31.2 Solicited Materials Form. You may access the SUNY ESF tenure and promotion standards and procedures at _____. Particularly pertinent sections of this document are available via hyperlinks on page 5.⁸ In addition, the Department of _____'s tenure and promotion standards can be found at _____.

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

Sincerely,

⁴ Adjust accordingly for candidates requesting Continuing Appointment or Promotion to Professor.

⁵ Adjust accordingly for candidates who are Associate Professors.

⁶ Adjust accordingly for candidates requesting Continuing Appointment or Promotion to Professor.

⁷ Adjust accordingly for candidates requesting Continuing Appointment or Promotion to Professor.

⁸ Adjust accordingly for candidates requesting Continuing Appointment or Promotion to Professor.

