

G. SOLICITED LETTERS

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

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

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

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

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

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

H. DOCUMENT CORRECTION OR REMOVAL PROCEDURE

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

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

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

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

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

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

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

I. CANDIDATE PORTFOLIO

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

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

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

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

Required Elements of the Candidate Portfolio

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

Candidate portfolios should include:

- An essay or self-evaluation that presents the candidate's case for reappointment, continuing appointment and/or promotion in relation to the SUNY criteria as they apply to the candidate's professional obligation. The candidate analyzes her/his responsibilities and performance during the review period, in both primary and secondary settings. When relevant, the candidate's essay should include an analysis of and response to any developmental recommendations made in the most recent review. The essay/self-evaluation should be clear, concise and normally should not exceed 5,000 words.
- Samples of actual learning contracts and/or course guides or materials developed by the candidate for individuals or groups, samples of credit by evaluation prepared by the candidate, as well as samples of student degree programs that the candidate has mentored. Keeping in mind the flexible interpretation of teaching effectiveness outlined in Part III, section D of this handbook, the candidate selects examples that best illustrate the breadth and quality of her/his mentoring and teaching. To the extent possible, information that identifies individual students should be removed from copies of student documents in order to protect student privacy.
- A current curriculum vitae.

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

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

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

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

J. INITIAL PEER REVIEW PROCEDURES

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

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

Voting Eligibility

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

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

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

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

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

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

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

Peer-administrative Consultation

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

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

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

Initial Peer Review Committee Composition

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

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

Initial Peer Review Committee Evaluation and Recommendation

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

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

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

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

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

Faculty Peer Reviewers' Discussion and Vote

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

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

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

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

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

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

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

K. DEPARTMENT/SCHOOL LEVEL ADMINISTRATIVE REVIEW PROCEDURES

Associate Dean/Dean Responsibilities

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

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

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

Associate Dean/Dean Evaluation and Recommendation

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

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

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

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

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

L. ACADEMIC PERSONNEL COMMITTEE (APC) PROCEDURES

Academic Personnel Committee Composition

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

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

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

Academic Personnel Committee Responsibilities

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

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

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

Peer-administrative Consultation at the College Level

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

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

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

Academic Personnel Committee Evaluation and Recommendation

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

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

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

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

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

Participation by APC Members

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

APC Ballots

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

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

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

APC does not use absentee ballots or allow proxy voting.

M. COLLEGE-LEVEL ADMINISTRATIVE REVIEW PROCEDURES

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

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

President's Review and Decision

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

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

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

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

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

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

N. AMENDMENT PROCEDURE

Initiation

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

Procedure for Amendment

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

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

Adoption

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

PART V. PROFESSIONAL DEVELOPMENT

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

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

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

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

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

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

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

A. PROCEDURES FOR REVIEW OF FACULTY HOLDING CONTINUING APPOINTMENT

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

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

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

B. PROFESSIONAL DEVELOPMENT PLAN

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

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

C. SABBATICAL LEAVE

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

Eligibility for Sabbatical Leave

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

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

Sabbatical Application Procedure

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

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

Sabbatical Application

A sabbatical application contains the following information:

- An outline of the specific program to be followed while on sabbatical leave (i.e., a description of the research, scholarly, creative or other professional development activities to be undertaken during the leave period and the expected results of the leave).
- The sabbatical application should be accompanied by a current CV and a professional development plan for the next two to five years. The professional development plan should state individual needs and goals, intended activities and expected contributions to the institution.
- A discussion of how the sabbatical leave supports the faculty member's longer-term professional development plan.
- If the program includes research involving human subjects, an application for review and approval by the Institutional Review Board for the protection of human subjects.
- A signed statement indicating that "I intend to continue as a member of the faculty upon my return for a minimum of one year and I further agree to submit a report of my accomplishments while on leave to the president, provost and associate dean/dean upon my return."

Criteria for Sabbatical Award

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

- Overall quality, clarity and focus of the proposal.
- Although the proposal need not have explicit value to the college or society as a whole, proposed activities should have significant scientific, scholarly, educational, community service or creative value.
- Apparent readiness of the faculty member to carry out the proposal as demonstrated through a well-outlined plan. The applicant should be capable of completing the proposed activities and should present a plan that has a reasonable probability of leading to achievement of his/her goals.
- The sabbatical proposal should cohere with the applicant's ongoing plan for professional development, or provide compelling reasons for the divergence of sabbatical program and development plans.

Obligations of a Sabbatical Recipient

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

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

D. PROFESSIONAL DEVELOPMENT REASSIGNMENT

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

Eligibility for Professional Development Reassignment

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

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

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

Reassignment Application Procedure

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

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

- The provost consults with the president and makes the final decision regarding professional development reassignments. The provost decision is forwarded in writing to the faculty member with a copy to the associate dean/dean.
- For any proposal involving research on human subjects, award of the reassignment is contingent on the faculty member securing Institutional Review Board (IRB) approval for the protection of human subjects. If the mentor does not secure IRB approval by July 1 during the academic year in which the reassignment is to be taken, the provost may withdraw the award and select an alternate.
- The associate dean/dean establishes release-time or leave arrangements with the faculty member and notifies the provost, who arranges transfer of backfill funds.
- The faculty member is responsible for following the steps outlined in Section G, Preparing for a Leave, which are relevant to the reassignment arrangements.

Reassignment Application

A reassignment application contains the following information:

- An outline of the specific program to be followed while on professional reassignment (i.e., a description of the research, scholarly, creative or other professional development activities to be undertaken during the leave period and the expected results of the leave).
- The reassignment application should be accompanied by a current CV and a professional development plan for the next two to five years. The professional development plan should state individual needs and goals, intended activities and expected contributions to the institution.
- A discussion of how the professional reassignment supports the faculty member's longer-term professional development plan.
- An application for review and approval by the Institutional Review Board for the protection of human subjects, if research will involve human subjects.
- A signed statement indicating that "I intend to continue as a member of the faculty upon my return, and I further agree to submit a report of my accomplishments while on reassignment to the associate dean/dean and provost on my return."

Reassignment Selection Criteria

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

- Amount and quality of the information provided.
- Apparent readiness of the faculty member to carry out the professional development activity, as demonstrated through a well-outlined plan.
- Clarity and focus of the proposal.
- Scientific, scholarly, educational, service or creative value of the program.
- Consistency with the applicant's longer-term plan for professional development.

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

Reassignment to Other Roles in the College

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

E. CALENDAR FOR SABBATICAL AND REASSIGNMENT APPLICATIONS

Sabbatical Calendar

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

Professional Development Reassignment Calendar

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

Calendar for Other Professional Development Opportunities*

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

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

F. ADDITIONAL LEAVE, REASSIGNMENT, AND GRANT OPPORTUNITIES

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

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

Imperatore Award

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

Adult Learning and Mentoring Reassignments

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

Drescher Award

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

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

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

Externally Supported Leaves

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

Susan H. Turben Chair in Mentoring

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

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

G. PREPARING FOR A LEAVE

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

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

- Establish a timetable for no longer accepting new students; identify any primary mentorees who need to be referred to new mentors; make new mentor assignments; and establish whether primary mentorees will return to the mentor when the leave ends.
- Notify in writing and plan for her/his absence with each student, including notice of when the student must complete outstanding work for the mentor's evaluation. Once students are provided sufficient notice of an impending leave, faculty are not obligated to provide direct assistance or evaluate student work during a leave, nor is the student entitled to have another faculty member provide such services during that period.
- Bring all possible academic documents (e.g., contracts evaluations, outcomes) to closure and annotate mentor records regarding any documentation that is not yet available.
- Consult with students' new mentors about student progress and plans, when relevant.
- Consult with the coordinator of student services about transitional services to students, if appropriate. At least one week before the leave the mentor meets with the associate dean/dean to review any anticipated student problems and any administrative issues.
- Establish a timetable for resuming responsibilities and rebuilding student load upon return from the leave. At least one month prior to returning from a leave, the faculty member consults the associate dean/dean again about the transition back to the college and steps to rebuild student load.

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

H. INDIVIDUAL PROFESSIONAL DEVELOPMENT AND TRAVEL SUPPORT

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

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

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

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

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

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

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

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

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

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

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

I. THE CENTER FOR MENTORING AND LEARNING AND ACADEMIC INNOVATION

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

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

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

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

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

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

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

New Mentor Orientation for Full-time Faculty (0.5 and Above)

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

Annual Professional Development for Full-time Faculty

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

Workshops and Resources on Engaged Pedagogies

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

Provide individual mentor support for enhancement of teaching and mentoring.**Part-time Faculty Development**

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

Collaboration and Exchange in Research and Practice

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

J. COLLEGE PROFESSOR FOR ADULT LEARNING AND MENTORING

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

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

Publications

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

External Connections and Presence of the College

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

Faculty Scholarship and Creative Activity

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

Faculty Reassignments and Other Special Activities

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

K. SCHOLARS ACROSS THE COLLEGE PROGRAM

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

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

L. ANNUAL COLLEGE MEETINGS

All College Conference

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

- Enhance professional development for all college staff.
- Build a sense of community within the college.
- Inspire re-dedication to the college's mission and values related to providing innovative, high quality services to adult learners.
- Support necessary governance and other institutional business.

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

Fall Academic Conference

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

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

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

- **SUNY Center for Professional Development (CPD)** is a collaborative central resource for the SUNY Community providing access to high quality professional development opportunities focused on the latest trends and established best practices in higher education to enhance the capability of SUNY faculty and staff and increase SUNY's competitive advantage. The CPD will provide a full complement of professional development programs, training and services to key target audiences on its member campuses and across the SUNY community. <http://www.suny.edu/sunyTrainingCenter/index.cfm>
- **SUNY Conference on Instructional Technologies (CIT)** – This conference provides a forum for faculty and instructional support professionals to share experiences and expertise. The conference is sponsored by the SUNY FACT initiative (Faculty Access to Computing Technology) and held each spring on a different SUNY campus. Information on this conference can be found on the web at cit.suny.edu.
- **Open SUNY Center for Online Teaching Excellence (COTE)** – COTE's aim is to ensure all members have opportunities to continue developing and improving their knowledge, practices, and expertise in the areas of online teaching and learning that resonate most with them. Offerings are tailored to support all SUNY faculty and staff, ranging from those curious about online education to those looking to develop specialized skills.
- **SUNY Center for Collaborative Online International Learning (COIL)** – COIL developed from the efforts of a group of SUNY faculty innovators who were each exploring ways to bring international students into their classrooms using technology. COIL's annual conference brings together faculty, international programs staff, instructional technology staff, and university and college administrators to share experiences and innovative Globally Networked Learning (GNL) models and best practices. Information on this conference can be found on the web at coil.suny.edu.

N. ADDITIONAL PROFESSIONAL DEVELOPMENT RESOURCES

Faculty Reading/No Appointment Periods

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

Faculty Reassignments to Other SUNY Empire State College Settings

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

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

National/International Opportunities

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

External Employment and Extra Service

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

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

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

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

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

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

Grants/Applications for Outside Funding Support

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

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

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

Faculty Tuition Support

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

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

O. AWARDS AND RECOGNITION

SUNY Empire State College Foundation Awards for Excellence

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

Altes Prize for Exemplary Community Service

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

James W. and Mary Elizabeth Hall Award

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

PART VI. PART-TIME FACULTY

A. PART-TIME FACULTY

Part-time Faculty Appointments

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

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

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

Documenting Changes in Part-time Faculty Appointments

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

Rank and Title of Part-time Academic Employees

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

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

Peer Review of Part-time Faculty

- Eligibility

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

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

- Procedures

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

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

Criteria for Review of Part-time Faculty

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

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

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

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

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

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

College-level Administrative Review Procedure

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

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

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

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

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

Notice Requirements

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

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

B. ADJUNCT FACULTY

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

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

Qualifications

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

Appointment Procedures

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

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

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

Compensation

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

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

Types of Appointment

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

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

Status of Adjunct Faculty

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

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

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

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

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

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

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

APPENDICES

APPENDIX 1**SOLICITED LETTER CONSENT FORM**

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

Dear _____:

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

_____ of SUNY Empire State College
 (Name of department)

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

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

At SUNY, faculty professional responsibilities include teaching, research and University service. The evaluative criteria that apply to these responsibilities include:

- (a) Mastery of subject matter
- (b) Effectiveness in teaching
- (c) Scholarly ability
- (d) Effectiveness of University service
- (e) Continuing growth

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

performance with regard to one or more of the review criteria. We ask that you submit your letter by
 _____, along with the original copy of this letter signed by you and indicating
 (Date)

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

Thank you for your assistance.

 Chair, Initial Peer Review Committee

 Associate dean/dean

 Department

 Department/school

I agree that:

1. The candidate may read this recommendation. Yes No
2. The candidate may read this recommendation if all identification as to its source is deleted. Yes No
3. The candidate may reuse this recommendation in their subsequent review. Yes No

Signature _____

Date _____

Print name _____

APPENDIX 2**FULL-TIME FACULTY ANNUAL REPORT AND PLAN
FOR THE PERIOD JULY 1 _____ THROUGH JUNE 30 _____ ***

Name _____ Date _____

Location _____

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

Annual Report

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

I. Mentoring and Teaching Activities**A. Serving as a primary mentor**

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

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

B. Teaching

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

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

C. Developing and Managing Learning Resources

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

D. Other Mentoring Responsibilities

- Conducting individual prior learning assessments
- Presenting student information sessions
- Participating in new student orientations
- Public relations activities within the larger community
- Other - Please describe _____

II. Scholarly Activities

Please check all areas in which you have engaged in activity during the reporting period and attach a list that gives details of each activity (e.g., article title and citation, etc., brief description of sabbatical activities).

- Research projects
- Artistic/creative projects
- Exhibit/performance of artistic work
- Publication of book, article, chapter, creative writing, etc.
- Attendance at conferences/professional meetings (on teaching and learning, in your discipline, etc.)
- Presentation of work at conferences/professional meetings
- Conference planning, development and/or organization
- Officer/leadership role in professional organization
- Sabbatical leave
- College professional development reassignment
- Mentoring Institute reassignment
- Imperatore Award
- Scholars Across the College recipient
- Other - Please describe _____

III. Institutional Service**A. Location Activities**

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

B. College-level activities

- | | | |
|--------------------------|------------------------------------|--|
| <input type="checkbox"/> | College Senate | Check here if chair/convener: <input type="checkbox"/> |
| <input type="checkbox"/> | College governance committee | <input type="checkbox"/> |
| <input type="checkbox"/> | Collegewide task force | <input type="checkbox"/> |
| <input type="checkbox"/> | Area of study | <input type="checkbox"/> |
| <input type="checkbox"/> | Search committee | <input type="checkbox"/> |
| <input type="checkbox"/> | Mentoring Institute Advisory Board | |
| <input type="checkbox"/> | Other - Please specify _____ | |

C. Program Development Activities

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

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

Please specify _____

E. Other Service and Professional Contributions

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

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

- Teaching and mentoring
- Scholarly activities
- Institutional service

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

APPENDIX 3

DEPARTMENT CHAIRS

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

Responsibilities

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

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

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

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

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

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

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

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

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

Department Chair Eligibility and Appointment Procedures

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

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

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

Department Chair Nominations

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

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

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

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

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

Department Chair Compensation

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

Planned Review

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

APPENDIX 4

CONTINUING DEVELOPMENT OF FACULTY EXPERTISE AND COMPETENCY

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

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

Subject Matter Expertise

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

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

Mentoring Competency

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

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

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

Ongoing Development of Teaching Expertise

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

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

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

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

Ongoing development of Mentoring Competence

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

Faculty Professional Development Related to teaching and mentoring expertise

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

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

APPENDIX 5

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

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

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

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

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

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

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

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

Other Faculty Development Activities offered by the college:

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

APPENDIX 6

SUNY EMPIRE STATE COLLEGE GEOGRAPHIC ORGANIZATION

Administrative Offices

2 Union Avenue
Saratoga Springs, NY 12866-4390
800-847-3000

CAMPUSES**Brooklyn**

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

Buffalo

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

Hartsdale

210 North Central Avenue, Suite 150
Hartsdale, NY 10530
914-948-6206

Hauppauge

Perry Duryea State Office Building,
Room 1A11
250 Veterans Memorial Highway
Hauppauge, NY 11788
631-360-1215

Manhattan

325 Hudson Street
New York, NY 10013
212-647-7800

Rochester

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

Saratoga Springs

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

Selden

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

Staten Island

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

Syracuse

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

LEARNING HUBS**Albany**

Empire State Plaza
Concourse Level, Suite 124
Albany, NY 12220
518-350-7590

Alfred

Alfred State College
Agricultural Sciences Building,
Room 209
10 Upper College Drive
Alfred, NY 14802
607-968-2310

Auburn

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

Batavia

36 Ellicott Street
Batavia, NY 14020
585-757-1110

Binghamton

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

Corning

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

Dunkirk

214 Central Avenue
Dunkirk, NY 14048
716-268-8030

Fort Drum

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

Garden City

1325 Franklin Avenue, Suite 335
Garden City, NY 11530
516-997-4700

Harlem

AC Powell State Office Building
163 West 125th Street
New York NY

Johnstown

Fulton-Montgomery
Community College
Classroom Building, Room 135
2805 State Highway 67
Johnstown, NY 12095
518-706-3091

Lakewood

305 East Fairmount Avenue, Suite 5
Lakewood, NY 14750
716-708-1798

Latham

21 British American Boulevard
Latham, NY 12110
518-783-6203

Olean

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

**Plattsburgh**

SUNY Plattsburgh College,
442 Beaumont Hall
101 Broad Street
Plattsburgh, NY 12901
518-564-8112

Queensbury

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

Sanborn

Niagara County Community College
3111 Saunders Settlement Road
Sanborn, NY 14132
716-727-2061

Schenectady

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

Utica

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

Watertown

Jefferson Community College
E121-122 Extended Learning Center
1220 Coffeen Street
Watertown, NY 13601
315-779-4660

School for Graduate Studies

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

School of Nursing and Allied Health

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

Harry Van Arsdale Jr. School of Labor Studies

325 Hudson Street, Floor 6
New York, NY 10013
646-230-1355

Center for International Education

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

- Tirana, Albania
- Prague, Czech Republic
- Santo Domingo, Dominican Republic
- Athens, Greece
- Thessaloniki, Greece
- Beirut, Lebanon
- Colombo, Sri Lanka
- Eskisehir, Turkey

Rockefeller Institute of Government

411 State Street
Albany, NY 12203
518-445-4150

Shirley A. Chisholm Center for Equity Studies

55 Hudson Place, Floor 9
Brooklyn, NY 11217

Office of Veteran and Military Education

800-847-3000, ext. 2779

Student Center

800-847-3000

APPENDIX 7

SUNY EMPIRE STATE COLLEGE ADMINISTRATIVE ORGANIZATION

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

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

APPENDIX 8

MEMBERS OF PRESIDENT'S CABINET

Beth Berlin, Officer in Charge, Executive Vice President for Administration and Chief Operating Officer

Kyle Adams, Vice President for Strategic Communications

Tai Arnold, Interim Vice Provost for Student Success

Antonio Bazzoffi, Director of Operations and Safety and Security

Meg Benke, Provost and Executive Vice President for Academic Affairs

Lexie Bonitatibus, Director of Budget and Risk and Chief Financial Officer

Susan Epstein, Assistant Vice President for Advancement

Andrea Hennessy, Associate Vice President for Enrollment Management

John Lawless, Interim Vice Provost for Academic Administration and

Acting Dean of Labor Studies, Harry Van Arsdale Jr. School of Labor Studies

Tracy Meek, Chief of Staff

Mary Caroline Powers, Senior Advisor to the President

Nikki Shrimpton, Interim Vice Provost Academic Affairs