NY SUNY 2020 UAlbany Impact

Groundrules and Request for Proposals for new Faculty

January, 2012

In anticipation of approval for the UAlbany Impact plan, under the Governor’s and Chancellor’s NY SUNY 2020 initiative, the following “ground rules” are advanced for hiring new faculty to be funded under this plan.

**Timing and hiring cycles:** Proposals are due by *March 15, 2012*, for searches to begin after July 2012 (positions to begin in Fall 2013). Proposals can advance single-year or multi-year hiring plans.

**Principles for consideration:** Proposals for hiring new faculty under UAlbany’s NY SUNY 2020 plan (UAlbany Impact) should:

- Be aligned with the areas of strength and opportunity outlined in UAlbany Impact (most recent version is available for review at: [http://www.suny.edu/Board_of_Trustees/webcastdocs/2020-UAlbanyPlan.pdf](http://www.suny.edu/Board_of_Trustees/webcastdocs/2020-UAlbanyPlan.pdf) and the UAlbany Strategic Plan ([http://www.albany.edu/strategicplan/strategic.planning.documents.shtml](http://www.albany.edu/strategicplan/strategic.planning.documents.shtml)).

- Be scalable (viable in smaller or larger quantities), given the unknown nature of allocations in the out years of the UAlbany Impact plan.

- Respond to the increased enrollment expectations and/or the increased external and grad student support funding required under the UAlbany Impact plan.

A variety of appointment types can be considered, including traditional tenured/tenure-track appointments as well as those that are “research-intensive,” or “teaching-intensive.” Non-tenure track postdoctoral appointments with specific time frame and specific set of research and/or instructional productivity and professional development goals may be considered, as could part time and/or non-tenure track instructional lines with or without provisions for an extended employment horizon. Proposals for faculty in multiple units (e.g. interdisciplinary faculty hires, or linked hires in two or more units) may also be considered.

**Some important consequences to consider:**

Given the critical nature of enrollment and extramural funds to the overall UAlbany 2020 plan, careful attention will be given to the outcomes of hiring during the five years of the plan. An evaluation of this will begin toward the end of “year 2” following initial hiring, using the metrics outlined in the successful proposal. The central funding for hiring plans made under the NY SUNY 2020 UAlbany Impact program for whom expected external funding and/or instructional responsibilities (of the individual hire and of the unit) are unmet will be removed. Continued employment for those hired will need to be funded by unit resources. The same will be true if the academic unit overall instructional and/or external funding pattern declines.

**Proposals are invited to respond to the call for increased enrollment and to the call for increased external funding:**
• All proposals for faculty hires should outline the expected excellence to be achieved in research, scholarly, creative, and/or instructional work.

• For proposals responding primarily to the call for increased undergraduate and/or graduate enrollment:
  o Proposals should address increasing the instructional and advising capacity of the unit(s) while sustaining and improving the quality of these offerings. This might include innovations in how courses are taught, curriculum is offered, research is enhanced, and/or advising is provided.
  o Proposals should indicate both (a) how the hiring proposal expands the capacity to provide instruction and advisement to a greater number of students, (b) information about likely student interest in and demand for the proposed offerings, and (c) plans to recruit and sustain the anticipated level of enrollment.

• For proposals responding primarily to the call for increased external funding and graduate student support funding:
  o External fund estimates vary for different areas in UAlbany Impact. All external funding should include provisions for full support (stipend AND tuition) of graduate student assistants.
  o Note that the departments/schools/colleges of externally funded faculty will be expected to include 2% salary recovery in all applications. This 2% is separate from any “grant-funded teaching buyout” and will be centrally pooled to provide resources for research support. Possible sharing of grant-funded teaching buyout resources is currently under discussion.

• For proposals contemplating combinations of instruction and grant activity, relevant combinations of the above should be addressed.

Who can make a proposal?

• Faculty, faculty groups, departments, department groups, deans, other research unit heads, school/college groups, groups of other unit heads.

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1 Expected annual funding levels per new faculty line for each of the strategic initiative areas is provided below. Note that this funding level need not be achieved solely by a new hire; rather, this new level of annual funding might be achieved by one or by multiple, new or continuing, faculty across the hiring unit.

<table>
<thead>
<tr>
<th>Strategic Initiative Area</th>
<th>average annual external funding</th>
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<tbody>
<tr>
<td>Human Health and Biomedical Sciences</td>
<td>$500,000</td>
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<tr>
<td>Environmental and Economic Sustainability</td>
<td>$500,000</td>
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<tr>
<td>Emerging Technologies</td>
<td>$350,000</td>
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<tr>
<td>Public Service and Policy</td>
<td>$250,000</td>
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<tr>
<td>Business and Entrepreneurship</td>
<td>$100,000</td>
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<tr>
<td>Liberal Arts and Sciences</td>
<td>$250,000</td>
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<tr>
<td>Arts &amp; Humanities</td>
<td>none expected; all levels welcome</td>
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<tr>
<td>Social/Historical/Area Studies</td>
<td>$100,000</td>
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<tr>
<td>Mathematics/Sciences</td>
<td>$100,000</td>
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All proposals must be submitted to the relevant dean(s) (or, for research units reporting to the VPR, to the VPR) for comment and prioritization in advance of the March 15 deadline. Please check with that office for the timeline required to achieve a March 15 final submission.

A proposal for UAlbany Impact hiring would address the following (see also the required submission elements). Materials should be submitted electronically to the relevant Dean(s) (or to the VPR, for units reporting there), and then to provost@albany.edu.

- Description of the proposed hire(s), addressing expected excellence to be achieved in research, scholarly, creative, and/or instructional work
- Information about the context of the hiring unit(s)
  - External funding of the unit(s)
  - Faculty and staff configuration of the unit(s)
  - Enrollment data of the unit(s) and comparison to Delaware benchmarks
  - Quality indicators for the unit(s)
  - Indicators of the demand for the proposed research/academic program and plans for recruiting and sustaining the enrollment growth
  - Comparison of UAlbany unit to their counterparts in other universities engaged in this area
- Expected outcomes and associated metrics (note: these will be used for evaluation of funded proposals):
  - Expected scholarly/research, instructional, and service responsibilities associated with this hire (note: this should include responsibilities assigned to the new hires as well as agreed-upon shifts among current faculty/staff)
  - Expected additional instructional and advisement offerings for the unit (note: this might include current instructional staff, not only among new hires)
  - Expected additional external funding for faculty in the unit (note: where relevant, this should include increases in funding among current faculty, not only among new hires)
  - Expected additional external graduate student support funding in the unit (note: where relevant, this should include increases in funding among current external graduate student support sources, not only that provided by new hires)
- Any special “ground rules” needed
  - Expected ground rules for grant-funded teaching buyouts, where relevant
  - Estimates of scalability—concerning the viability of the proposed plans if they must be downsized, or could be increased
  - For proposed hires that cross two or more units (such as in interdisciplinary faculty hires), outline the expectations for research, teaching, and service contributions in each unit, as well as the standards that will be used (and by whom) to evaluate for promotion/continuing appointment
- Resource needs
  - Estimated space needs, and a statement of plans for providing or requesting that space
  - Budget including estimated start-up costs, technology needs and costs, estimated graduate student or staff support costs, and proposed source of salary funds (unit, central, both, external)

The commentary and prioritization of the Deans (or the VPR, for units reporting to VPR) will also be included in the materials provided to the reviewers.
**Successful proposals and evaluative criteria:** In the pilot round in Fall 2011, two faculty-hire proposals were approved for funding for their first-year hiring plans. These proposals are available on request for your information. The most successful proposals are likely to be those that excel on these evaluative criteria:

1. Are compatible with the university mission, and
2. Are compatible with the UAlbany Impact focus:
   a. Focus on the contribution to the enrollment/external funding goals of 2020
   b. Address all of the items outlined in the Proposal form
   c. Are well organized
   d. Provide an accurate and informative context for the program/department/school/college for reviewers not familiar with the unit
   e. Build on identifiable strengths
   f. Are specific in plans and in providing measurable goals and evidence for success/failure
   g. Address unit plans in the event that the proposed outcomes are not achieved
   h. Are plausible, given the record of the unit
   i. Are reasonable expectations for the hire (for instance, the supports necessary to accomplish the intended outcomes are in place)
   j. Are sustainable beyond the period of investment
   k. Back up their claims with some kind of evidence
      i. Likelihood of external funding—evidence might include (not an exhaustive list!)
         1. A track record in that area (the closer the track record is to the area, the better; for instance, for a biodiversity proposal, a track record in biodiversity funding is more compelling than a track record in general biology funding);
         2. Listing of the possible funding sources (and any information about developing a history or track record with those sources);
         3. Application/award ratios of unit and of funder
      ii. Likelihood that a new or expanded offerings or program or area of study will attract students, as well as plans for recruiting and sustaining the new enrollment level. Likelihood evidence might include
         1. Data indicating that enrollment in classes in the program area have grown
         2. Evidence that the program, at this institution, is more likely to attract students than similar programs at different institutions
         3. Data about inquiries received
         4. Labor market projections
   l. Don’t duplicate capacity already existing on campus
   m. Provide a transformative opportunity such that the proposed hiring would substantially advance an academic agenda, thrust a unit into greater national or international prominence, or create synergistic relations among multiple units.
n. Have already had (or at least begun) the conversations that would yield successful cross-unit collaborations, and provide evidence of same; specify the responsibilities of the contributing units (For proposals that refer to the possible roles of and collaborations with other units on campus)

o. Have already had (or at least begun) the conversations that would yield successful external collaborations, and provide evidence of same; specify the responsibilities of the contributing entities (For proposals that refer to the possible roles of and collaborations with entities external to the campus)

p. Have a budget that is demonstrably reasonable for the discipline/area/task

q. Have thought out and laid out broader impact and need beyond unit (e.g., GSS dollars needed, IT infrastructure needed, different classrooms needed, and so on)

The Review Process

On submission, proposals will be reviewed by a panel of faculty reflecting the breadth of the campus academic areas, and who bring campus-wide perspectives in leadership roles such as department chair, distinguished faculty rank, and membership in the Budget Advisory Groups and the earlier Compact Planning/Strategic Initiative review panel. Proposals will also be reviewed by the deans and other members of the Provost’s Executive Advisory Council. All reviews will conform to appropriate recusal procedures for conflicts of interest.

Final funding decisions will include consideration of the merits of individual proposals, as well as the overall portfolio. Decisions should be available by May 2012.
## NY SUNY 2020 UAlbany Impact Proposal Rating Form

1=strongly disagree; 2=disagree; 3=agree; 4=strongly agree

### Compatible with the University mission

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### Compatible with the UAlbany Impact focus

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- Focuses on the contribution to the enrollment/external funding goals of 2020
- Addresses all of the items outlined in the Proposal form
- Well organized
- Provides an accurate and informative context
- Builds on identifiable strengths
- Specific in plans and in providing measurable goals and evidence for success/failure
- Addresses unit plans in the event that the proposed outcomes are not achieved
- Plausible, given the record of the unit
- Reasonable expectations for the hire (for instance, the supports necessary to accomplish the intended outcomes are in place)
- Sustainable beyond the period of investment
- Claims backed up with some kind of evidence
- Doesn’t duplicate capacity already existing on campus
- Provides a transformative opportunity
- Has thought out and laid out broader impact and need beyond unit (e.g., GSS dollars needed, IT infrastructure needed, different classrooms needed, and so on)

### Budget

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- Demonstrated that budget is reasonable to the discipline/area/task

### Where relevant

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- Has already had (or at least begun) the conversations that would yield successful cross-unit collaborations
- Have already had (or at least begun) the conversations that would yield successful external collaborations

### Comments

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