
PROCEDURES FOR PROMOTION AND TENURE REVIEW

AT THE UNIVERSITY AT ALBANY

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Introduction

For any academic institution, the faculty is the foundation of excellence in scholarship and learning. Faculty contributions and accomplishments in scholarship, teaching, and service are the vital components of a research university's success in advancing its mission. The University at Albany is committed to providing an academic climate that supports and facilitates faculty excellence in all three areas.

The University at Albany values excellence in scholarly inquiry and discovery, and embraces quality scholarship in its many diverse forms. The university recognizes that scholarly inquiry in any discipline is not static, and supports new and evolving forms of scholarship. In addition, inter-disciplinary and cross-disciplinary scholarship are valued as part of our academic enterprise.

The University at Albany also values excellence in teaching and mentoring, and recognizes that educating future global citizens and mentoring future scholars is a fundamental function of a research university. Teaching is a specialized form of scholarly leadership that aims to disseminate disciplinary knowledge and new discoveries by engaging students in the thinking of the disciplines so they can observe, judge, act upon, create, and manage a body of changing information in sophisticated ways.

Finally, the University at Albany values excellence in service to the institution, to the community, and to our professions. We seek not only to be engaged in advancing the mission of our own institution and our professions and disciplines, but also to be fully engaged with our local communities and communities around the world to further their well-being and success.

The concept of tenure is a fundamental basis of our university's commitment to these values of excellence and to the underlying value of academic freedom. A strong tenure and promotion system is a crucial aspect of an academic climate that fosters an outstanding faculty, and thus plays an important role in ensuring the strength of the foundation upon which the success of the university depends.

Tenure and promotion decisions are among the most important decisions made at the University at Albany, and the university is committed to a clear and transparent tenure and promotion process. Decisions will be impartial, thorough, and based on clearly articulated expectations. Tenure is awarded based on the accomplishments and contributions of a faculty candidate in scholarship, teaching, and service, and on the potential of the candidate to make continued, further contributions in these areas. Thus, tenure is the university's investment in a faculty member's future as an influential scholar, effective teacher, and engaged institutional and academic citizen. Tenured faculty members, in turn, have an obligation to continue and advance their pursuit of excellence in scholarly inquiry, in education, and in service to the university's mission. The University takes pride in faculty members continuing their trajectory to the rank of full professor, indicating that they have achieved national and international prominence.

Definitions of Key Terms

Academic review committee – This is the faculty body that is charged with evaluating and voting on a case at each level of review. For cases arising from the College of Arts and Sciences, and the Schools of Business, Education and Public Health, the first level academic review committee is the department faculty, the second level academic review committee is the school/college promotion and tenure committee, and the third level academic review committee is the Council on Promotion and Continuing Appointment (CPCA). For cases arising from the College of Computing and Information Sciences and the Rockefeller College, the first level academic review committee is the department faculty and the second level academic review committee is the CPCA (with a Dean’s review in between). For cases arising from schools/colleges without separate departments (SCJ, SSW, University Libraries), the first level academic review committee is the school/college faculty and the second level review committee is CPCA.

Administrative officer – For the purposes of promotion and tenure, an administrative officer is a department Chair and/or Dean who has responsibility for the administrative review of a candidate at the department or school/college level, and the Provost who has responsibility for the administrative review at the University level.

Citation analysis – A citation analysis for the promotion dossier is a presentation of the citation counts of the candidate’s published works.

Continuing appointment – Continuing appointment is the official term for “tenure” in the State University of New York system.

Council on Promotion and Continuing Appointment (CPCA) – The CPCA is the UAlbany Faculty Senate Council that serves as the university-level academic review body for all promotion and/or continuing appointment cases.

Employment history – The candidate’s employment history is a document provided to the department upon request by Human Resources showing the employment record and dates (time periods of qualified rank, leaves, etc.) for a particular candidate for tenure or promotion.

Levels of review – Levels of review refers to the steps in the review process, and can include department, school/college, and university levels. Every case goes through at least two levels of review (school/college and university) and for schools and colleges that contain separate departments, cases go through a departmental level of review as well. Every review level has two parts: a faculty, or academic, evaluation and vote (department, school/college committee, CPCA) and an administrative recommendation from each level (department Chair, Dean, Provost). Each step is advisory to the next (i.e., the review process doesn’t stop after a negative outcome at one level but proceeds to the next, unless the faculty candidate withdraws the file from consideration).

Promotion – Promotion refers to any advancement in academic rank for professors and librarians, from assistant to associate, and from associate to full.

Solicited letter of evaluation – A solicited letter of evaluation is any letter, memorandum, statement, or report of recommendation solicited by an authorized University official from another individual (referred to as a reviewer) in connection with the promotion and/or continuing appointment of a faculty member. Such letters are required to assess a candidate's scholarship, but they may also be used as part of the documentation and evidence about a candidate's teaching or service. These letters are subject to the rules of confidentiality described in these procedures (see *Contents of the File #7*, on page 16 and following).

Summary of Action Form – The Summary of Action Form records the progress of the tenure/promotion review, including the results of the faculty and committee votes, and the signature of the administrative officer, at each review level. (A blank Summary of Action Form is provided in Appendix G.)

Unsolicited letter of evaluation – An unsolicited letter refers to any letter or memorandum that pertains to the promotion and/or continuing appointment of a faculty member that is received, but that has not been explicitly solicited by an authorized university official. Such letters become part of the candidate's dossier and are available to the candidate to read.

OVERVIEW OF THE PROMOTION AND TENURE PROCESS

The tenure and promotion review process takes about 15 months from start to finish. For assistant professors and librarians, the tenure review typically begins in the middle of the candidate's fifth year of employment. For associate professors and librarians seeking promotion to full, there is no mandatory time for review; rather, the review occurs whenever the candidate and his/her department initiate the process.

All cases go through two or three levels of review as illustrated in the following table: department and/or school/college and university levels. Appendix B also provides an illustration of the review process for each college and school. At every level there is peer (faculty) review and vote, and an administrative (Chair, Dean, and Provost) review and recommendation. The entire review process is advisory to the President who has sole authority to award continuing appointment and promotion. The President's action is subject to confirmation by the Chancellor. (See Appendix B for a schematic of each School/College's process.)

School or College	Levels of Review		
College of Arts and Sciences	Department faculty & Chair	College Tenure and Promotion Committee & Dean	CPCA & Provost
School of Business	Department faculty & Chair	School Personnel Committee & Dean	CPCA & Provost
School of Education	Department faculty & Chair	School's Appointment, Promotion, and Tenure Committee & Dean	CPCA & Provost
School of Public Health	Department faculty & Chair	School's Appointment, Promotion, and Continuing Appointment Committee & Dean	CPCA & Provost
Rockefeller College	Department faculty & Chair	Dean (no college committee)	CPCA & Provost
School of Criminal Justice	School faculty & Dean	CPCA & Provost	
School of Social Welfare	School faculty & Dean	CPCA & Provost	
College of Computing and information	Department faculty & Chair	Dean (no college committee)	CPCA & Provost
University Libraries	Library faculty & Dean	CPCA & Provost	

For ease of reference, this document presents information as if the candidate's first level of review is an academic department. Appropriate adjustments would be made for circumstances in which the school, college, or library is the first level of review.

The process begins with the candidate and his/her department notifying the Dean and Provost of the intent to request tenure and/or promotion, and assembling a file, or dossier, of required materials for review. As described in this document, the candidate is responsible for preparing some elements of the file, and the department is responsible for preparing and assembling other elements. Many departments appoint an ad hoc faculty committee to oversee and coordinate the file assembly. In these cases, it is often a three-member committee, with each member having oversight of one of the three areas under review: research, teaching or service. When departments have such an ad hoc committee, the committee is usually responsible for presenting the case during the department faculty meeting.

The review process does not stop if there is a negative vote at any level of review unless the candidate chooses to suspend the review process.

Copies of the recommendation at each level of review will be made available to the candidate, who will have the opportunity in reply in writing. Such a reply becomes a part of the record. The candidate will be given at least five (5) working days to examine the file and respond in writing to the non-confidential portions of the dossier before it is presented to the President for a decision.

DEADLINES FOR PROMOTION AND CONTINUING APPOINTMENT REQUESTS

In all cases, whether mandatory cases, cases up for reconsideration, promotion only, early consideration for tenure, and where applicable, a new faculty appointment, the Dean must inform the Office of the Provost of the candidate's name and nature of the personnel action, before beginning the preparation of the file. Failure to inform the Office of the Provost will jeopardize the candidate's opportunity for timely consideration. It is especially important that Chairs and Deans communicate their intention to send up a mandatory case for tenure in a timely manner: the University at Albany must comply with deadlines imposed by the SUNY system to move the case forward on mandatory cases, and the University-level review committee must have sufficient time to schedule a discussion of such cases to comply with the required deadlines.

Two sets of deadlines, corresponding to two possible review cycles, appear below. The particular review cycle for a faculty candidate will depend on the date of initial appointment, approved prior service (where applicable), and leave status (if applicable) during the initial years of employment. Most candidates will be in an appointment cycle that corresponds with a decision by May 15. Candidates being considered early for tenure and promotion may be reviewed in either cycle.

Sample Timeline (2014-2015)

FOR DECISION BY MAY 15, 2015	FOR DECISION BY JAN 15, 2016	
April 15, 2014	Sept 1, 2014	Latest date by which candidate and department should begin preparing file for promotion and/or continuing appointment (i.e., finalize candidate statements and CV, identify external reviewers for solicited letters of evaluation; prepare and send requests for external letters of evaluation, begin preparing citation indices)
September 1 2014	January 15 2015	Latest date by which candidate must notify department Chair, with copy to Dean and Provost, of request for consideration for promotion or tenure. <i>Note – individual schools and colleges may have earlier deadlines.</i>

Various	Various	Individual school/college deadlines (See Appendix A)
January 15, 2015	May 1, 2015	Latest date by which cases must be forwarded to Office of the Provost by Dean for review by the Council on Promotion and Continuing Appointment (applies to mandatory cases involving continuing appointment).
February 1, 2015	September 1, 2015	Latest date by which cases must be forwarded to Office of the Provost by Dean for review by the Council on Promotion and Continuing Appointment (applies to all cases involving only promotion and for continuing appointment requests in the non-mandatory year). Non-mandatory cases received by the Office of the Provost after the due date of February 1 will be reviewed in the following academic year.
April 15, 2015	November 15, 2015	Council on Promotion and Continuing Appointment completes review and forwards all recommendations to the Provost.
May 1, 2015	December 1, 2015	Provost completes review of cases and forwards all recommendations to the President.
May 15, 2015	December 15, 2015	Decision by President and notification to the candidate.
May 16, 2015	December 16, 2016	Case forwarded to Chancellor for confirmation of President's decision.

GENERAL CRITERIA AND STANDARDS

Before preparing a request for promotion and/or continuing appointment, the Chair and members of the department should have a clear understanding of the general criteria and campus-wide standards applied to each request. The Office of the Provost, with recommendations from the Council on Promotions and Continuing Appointments, and consistent with the policies of the SUNY Board of Trustees, provides the following general statement of criteria and standards:

- I. In the review process, primary emphasis will be placed upon the major areas of scholarship, teaching, and service. For this purpose scholarship is broadly defined as original scholarly contributions or artistic works which constitute significant advances or major contributions to

the individual's discipline, to interdisciplinary or cross disciplinary work, or to practice in a field, and which serve as a basis for major professional awards or distinctions.

- II. Recommendations shall be based primarily upon a careful deliberation concerning the effectiveness of the candidate within each of the three following categories as appropriate to the position of the candidate within the University.
 - A. Scholarship as documented by publication of significant research work in the field, by development of educational and research materials or software, or by creative contributions in the arts. Also included is mastery of subject matter as demonstrated by advanced degrees, licenses, honors, grants, awards, reputation in the field, and continuing professional growth.
 - B. Teaching as documented by such evidence as student and peer evaluations, development of teaching materials or new courses, student advisement, thesis supervision, and evidence of lasting contribution to students' intellectual growth.
 - C. Service appropriate to the rank as demonstrated by participation in departmental, college, and university duties and governance, professional service activities, and such public and community service as is related to the candidate's scholarly qualifications.
- III. At a research university, candidates for promotion are expected to demonstrate excellence primarily in research and teaching, together with evidence of substantive contributions in service.

For promotion to associate professor, candidates are expected to have achieved independence as scholars, to be recognized and respected by their peers as outstanding scholars who have made a substantive contribution to the state of knowledge in their discipline or disciplines, and to be on a trajectory to continue to build a significant body of scholarship that will advance their discipline(s). In other words, candidates are expected to have established a clear, important line of research, one with indicators of quality, impact and prospective continuation. "Independence as a scholar" does not preclude scholarly collaborations, but rather requires candidates to have made their own significant contributions even when working in disciplinary or interdisciplinary teams. In addition, faculty candidates are expected to demonstrate a strong commitment to the educational mission of the university, and to be effective and committed teachers and mentors. Candidates are also expected to be engaged in service in relevant contexts (i.e. various levels of the institution, the profession, the public and the community).

For promotion to full professor, candidates are expected to present evidence that they have made continued major contributions in scholarship, and that they have further developed a body of scholarship that is recognized as making a substantial contribution to one or more disciplines and is the basis for a respected national or international reputation among professional peers. Furthermore, candidates are expected to be making major contributions in teaching and mentoring, and to be engaged in significant service roles in the university and profession. In summary, candidates for full professor are expected to demonstrate that

they have achieved professional maturity and have moved into leadership roles as fully committed scholars, teachers, and institutional and professional citizens.

DISCIPLINE-SPECIFIC EXPECTATIONS AND STANDARDS

The expectations and standards that define excellence in scholarship vary by discipline. These disciplinary expectations and standards include norms around the types of scholarship conducted (e.g., quantitative vs. qualitative; primary vs. secondary; basic vs. applied), expected products of scholarship (e.g., books, peer-reviewed journal articles, artistic compositions, evaluation reports and public policy briefs), authorship, quality, and appropriate quantity, among other things. These disciplinary expectations should be clearly laid out in the dossier, to facilitate a fair review at all levels of the process.

The department has the primary responsibility for ensuring that these disciplinary norms and expectations are clearly presented in the file. Letters from appropriately selected external reviewers help establish this context, but the department Chair has primary responsibility to describe the scholarly context in the candidate's discipline. The instructions for the Chair's letter on p. 29 and following and the [guidelines for writing a Chair's letter](#) contain specific guidance for this task.

This disciplinary context is especially important as new and evolving forms of scholarship develop. For example, community-engaged scholarship and entrepreneurial scholarship have become important forms of scholarship in recent years in some fields, and it is likely that other forms of scholarship may emerge in the future as established disciplines advance and newer disciplines mature. Similarly, the standards around appropriate scholarly products change as new forms of scholarly communication and dissemination emerge (e.g., e-journals, blogs, open-access publications, digital collection building, multi-media genres).

Departments are expected to have a written document, approved by the department faculty as a whole and reviewed periodically, that describes the norms and expectations for promotion and tenure in that department and discipline. Such a document should not present a strict checklist of the minimum levels of productivity necessary for promotion and tenure, but rather, should qualitatively explain the overall expectations by which the candidate will be evaluated, and should be flexible enough to encompass the normal variations in what is considered excellence within a discipline. These documents should be shared with junior faculty at the time of their initial appointment, and must also be included in the tenure dossier.

CANDIDATE ROLE AND RESPONSIBILITY

The candidate has the right to view the non-confidential materials in the file in accordance with University policy and with Article 31 of the UUP's *Agreement between [United University Professions and the State of New York](#)*. (See "Access to File by Candidate" section on p. 32 for further details.)

In preparation for and during the review process, the candidate should:

- Prepare certain required elements of the tenure file (CV, statements, etc.), as outlined in the “Instructions for the Preparation of the File” section beginning on p. 12.
- Add updated material to the file at any time during the review process (e.g., updating the status of manuscripts, articles as they appear in print, teaching evaluations, etc.). (See “Adding Materials to the File” on p. 33.)
- Inform the department of any individuals who should not be selected as external reviewers for reasons such as conflict of interest, close relationship, history of conflict with candidate, and disciplinary controversies. (See p. 17 for further details about candidate’s role in selecting external reviewers.)
- Provide the department with the names and contact information of individuals who would be appropriate for the committee to consider as it solicits letters of evaluation **for teaching and service**, and for documentation of co-authorship contributions. (See pp. 21, 24, and 25 for additional details.)

DEPARTMENT CHAIR ROLE AND RESPONSIBILITY

The department Chair has the following roles and responsibilities in preparation for and during the review process:

- Ensure that the candidate has a copy of these administrative procedures.
- Ensure that the candidate is made aware of the disciplinary and departmental expectations for promotion and tenure with respect to research, teaching and service.
- Inform the Dean and the Office of the Provost -- before preparation of the file -- of the candidate's name and nature of the personnel action in cases of reconsideration, promotion, early consideration for tenure, and where applicable, for a new faculty member.
- Ensure that the file includes all required elements, and that these are included and presented in an organized and clear fashion in the order outlined in the section called “Contents of the File.”
- Prepare the Chair’s letter as outlined on p. 29 and following.
- Ensure that the file contains information about relevant disciplinary norms and expectations. This information should be contained in the Chair’s letter. The department’s written guidelines outlining expectations should also be included in the file.
- Ensure that the Chair’s letter consists of an independent review of the evidence in the dossier; it should not serve as the major source of evidence in a dossier.
- Ensure that the candidate is given an opportunity to review the contents of the file, with the exception of the confidential solicited letters, and add a response if desired, before the subsequent level of review.

ROLE AND RESPONSIBILITY OF THOSE CHARGED WITH ASSEMBLING THE DOSSIER

The following roles and responsibilities apply to anyone who has been charged with assembling the file itself. This varies by department; in some departments it is the administrative manager or assistant to Chair, while in other departments it is the department Chair, an ad hoc faculty committee, a designated reviewer, or the candidate's faculty mentor. Regardless, during the review process, the person/committee charged with assembling the actual file during the review process must:

- Coordinate the logistics of assembling the actual elements of the file (as outlined in "Instructions for the Preparation of the File" section beginning on p. 12), and preparing one original hard copy and one entirely electronic copy (as outlined in Appendix D).
- Keep the Document Register up-to-date.
- Serve as the department custodial officer in charge of coordinating the viewing of the file by the candidate and ensure that the confidential material in the file is removed when the candidate views the file.
- Oversee the viewing of the file by other faculty members who will vote on the case, and ensure that no other party views the dossier in the process.
- Coordinate the request and receipt of solicited letters, ensuring that procedures related to documenting the confidential and non-confidential nature of the letters are followed.
- Ensure that there is a clear process for collecting and documenting the departmental vote, including the reasons given for positive and negative evaluations of the candidate's file.

DECLARATION

DECLARATION –

In ALL cases, whether those occurring in the mandatory year or cases of reconsideration, promotion only, early consideration for tenure, and where applicable, a new faculty appointment, the Chair and the Dean must inform the Office of the Provost of the candidate's name and nature of the personnel action, and the date anticipated for submission of file to the Office of the Provost before beginning the preparation of the file. (See deadlines in Appendix A and on p.7.) Failure to inform the Office of the Provost will jeopardize the candidate's opportunity for timely consideration.

INFORMING THE CANDIDATE –

- It is very important that the candidate be informed of the procedures and criteria considered for promotion and/or continuing appointment. Therefore, each candidate for promotion and/or continuing appointment should be provided with a copy of these administrative procedures at time of hire and at each term renewal.
- The candidate should be given the opportunity (and encouraged) to add material to the file at any time during the review process (e.g., new manuscripts, articles as they appear in print, new teaching evaluations, etc.)

CONTENTS OF THE FILE —

The required contents for promotion and continuing appointment request files are as follows (Items 1-15, with additional items added as the file is reviewed at each level). The file should be organized in the order listed below.

The entire file should exist as one entirely electronic copy, with each document as a separate PDF and the entire dossier as one continuous PDF. Instructions for preparing an electronic copy are provided in Appendix D.

It is the responsibility of those charged with assembling the dossier to ensure that all relevant data and statements are included and presented in an organized and clear fashion in the following order. A checklist is provided in Appendix C to ensure that all necessary documentation is included. The candidate must be provided with a copy before the file is started.

1. Cover Sheet (See Appendix E for required template)

2. Document Register (See Appendix F for required template)

- The document register provides a record of the assembly of the file. It is started when the preparation of the file begins, and each document should be recorded on the register as it is received and placed in the dossier.
- Each document in the dossier must be numbered and correspond to the document register.
- Each subsequent university officer having custody of the file is responsible for keeping the register up-to-date.
- Confidential letters of evaluation should be listed on the document register only by a number, date, and type of document (for example - Letter of Evaluation #1 dated 7/1/02). Each such confidential document should be numbered in the upper right-hand corner to agree with the document number reported on the document register.
- The document register must conform to the format that appears in Appendix F, in order to avoid controversy and contradictions concerning the contents of the file.

3. Summary of Action Form - (Appendix G)

- At each level of review, the Summary of Action form must be signed and dated.
- The original Summary of Action Form stays with the original copy of the dossier as it moves along to each level of review.

4. Curriculum Vitae - (Appendix H)

- An up-to-date CV is one of the most critical elements of the file, and it is essential that it is prepared carefully and with attention to detail.
- The completed CV must be dated and signed by the candidate.
- A recommended format for the CV appears in Appendix H. To facilitate the review of the file, candidates are strongly urged to prepare their CV using this format, as it contains all the required elements that review committees will be looking for.
- The CV should:
 - include work under review, work in progress, or working papers under a different heading from published work. Work that has been accepted but does not yet appear in print can be included under the heading of published work.
 - list peer-reviewed/refereed publications separately from publications in non-refereed outlets.
 - be accompanied by documentation of papers accepted, invitations to revise and resubmit, and letters from publishers about book contracts or interest from a press.
 - list papers delivered (or abstracts of such papers), doctoral dissertations, and articles in intramural or strictly local publications in a separate category from published work.
 - include complete references for publications, art exhibitions, musical compositions, etc. Full bibliographic information is required, including names of co-authors, page numbers, titles of journals in full, and dates.
 - indicate student and post-doc co-authors.
 - clearly indicate the order of co-authorship, and indicate senior authorship where appropriate.
 - specify the source, dates, and amount of support for external funding.
 - identify the candidate's doctoral supervisor, thesis title, and where applicable, the postdoctoral mentor.

4a. Candidate's description of individual role and contribution for co-authored work (if applicable)

- In instances where a substantial amount of the published work is co-authored, the candidate may choose to include a document here that explains his/her role and contributions on co-authored works. This description may be supported by solicited letters from the candidate's collaborators.

- In addition to or instead of this document, the nature of the candidate's role and contributions may also be detailed in letters solicited from collaborators and co-authors. See #8 on p. 21 for more details.

5. Candidate's UAlbany employment history and course assignments

- The department should request from Human Resources an Employment History for the candidate, which will indicate the candidate's appointment status, including periods of time on leave or in qualified rank, during his/her UAlbany employment.
- The department should request from Institutional Research information about what courses were taught each semester, and the enrollment in each.

6. Candidate's research, teaching, and service statements

The candidate should prepare separate, concise statements related to research, teaching and service. Specific guidance for each statement appears below, and you may find additional guidance related to preparing the research, teaching, and service statements on the UAlbany Tenure and Promotion Guidelines website:

http://www.albany.edu/academics/promotion_tenure/introduction.shtml.

In the research statement, the candidate should summarize the major research questions and/or themes with which s/he is concerned, and explain the contributions that his/her work has made in advancing knowledge in those areas. In addition, the candidate should describe the major methodological approaches he/she uses in research. The statement should clearly illustrate the growth and progression of a body of research that contributes to knowledge in an area, and should not merely be a description of projects or publications. The statement should provide the reader with an understanding of how knowledge in the field has changed or been enhanced by the candidate's work. The research statement should...

- be no longer than 3-5 pages
- not primarily be a description of various publications
- be understandable by colleagues in different disciplines. Therefore the statement should avoid jargon and highly specialized vocabulary, should provide brief definitions or explanations of specific concepts, and should allow non-specialists to understand the candidate's contribution to scholarship in one or more disciplines.
- include both past contributions to a discipline, and future directions.
- explain the contributions that the candidate's work has made to one or more disciplines.

In the teaching statement, the candidate should explain his/her teaching philosophy and pedagogical approach (at both the undergraduate and graduate levels of the curriculum, as appropriate to the candidate's unit). The candidate should describe his/her objectives and strengths related to teaching. In addition the candidate should describe his/her involvement in mentoring and advising activities, as well as any involvement in curriculum development and professional

development in the form of faculty development workshops focused on teaching or specific pedagogical techniques or issues. The teaching statement should ...

- be no longer than 1-3 pages.
- not primarily be a list of courses taught. This information is contained in the CV and candidate's employment history.
- describe specific classroom teaching strategies and course design, including why the candidate has made those choices.
- describe contributions outside the classroom (mentoring, advisement, and curriculum development) and how they enhance student learning.
- include plans for the future related to teaching and curriculum development.

In the service statement, the candidate should describe his/her involvement in university (at all levels), professional, and relevant community service. In this statement, the candidate should explain his/her objectives and motivations behind various types of service, and the value of service within the candidate's professional activities.

Service to the institution (department, school/college, university) typically involves committee service, and may also include distinctive contributions on behalf of core functional areas (e.g., statistical consulting, mentoring special student groups, contributions to the development of new policies or services to enhance university efficiency, effectiveness or excellence, generation of reports of recommendations upon request by university leadership, etc.). Service to the profession includes activities such as journal article reviews, journal editorships, leadership of conferences, invited presentations, active involvement and leadership in professional societies and organizations, and production of texts, other publications and media products which are widely used tools that contribute to a profession's collective effort aimed at research and education. Service to the community includes activities related to the candidate's areas of expertise such as consultantships (both paid and pro bono), presentation of testimony, and leadership involvement in community groups whose interests are related to the candidate's field of expertise.

The service statement should ...

- be no longer than 1-3 pages.
- not primarily be a listing of service completed as this information is available in the CV.
- describe the candidate's specific contributions to department, university, profession and community in the performance of service activities.
- describe any service to practice settings (e.g., educational institutions, non-profit agencies, government, the private sector), if relevant.
- include future plans related to service.

7. Solicited letters from external reviewers (CONFIDENTIAL)

Solicited letters from external reviewers asked to evaluate the candidate's scholarly contributions are an essential part of the review process, and an important element in the documentation of attainments in scholarship and creative work. Strict attention must be paid to the following important information regarding the selection of external reviewers:

- To provide a full and fair basis for judgment, each file must contain a minimum of four letters from qualified objective reviewers. However, it is highly recommended that at least six such letters are included in the file, in case there is any question about the suitability of certain reviewers at any level of review.
- An individual may not serve as an external reviewer if one can reasonably perceive that he/she has a potential bias (i.e., his/her objectivity may be compromised), or a conflict of interest (i.e., the reviewer has an identifiable interest in whether the candidate is tenured or promoted). Persons who have had a close relationship to the candidate, such as former colleagues, research collaborators, current or former students, mentors, thesis or postdoctoral advisors, or co-authors, should not serve as external evaluators. Additional guidance as to the determination of potential bias and/or conflict of interest is available in Appendix I.
- The candidate must NOT be involved in selecting external reviewers, and cannot be shown a list of potential reviewers. However, prior to the selection of reviewers, the candidate may identify potential referees who for personal reasons ought not to be consulted. External reviewers may be eliminated from consideration for reasons such as a history of conflict with the candidate; a disciplinary controversy placing the reviewer in an opposing 'camp;' a close professional or personal relationship to the candidate; any other circumstance that might result in undue bias for or against the candidate.
- It is recommended that department Chairs, Deans, or the Chairs of ad hoc departmental review committees make initial contact with potential reviewers by telephone and/or email and secure their consent to serve before an official letter of solicitation is sent. This also provides an opportunity to confirm that the reviewer does not have a prior professional association with the candidate that would compromise his/her ability to provide an independent assessment. Such conversations should not coach or intentionally persuade the external reviewer toward a specific evaluation.
- Following initial contact with a reviewer, a formal letter of solicitation should be sent, accompanied by the candidate's CV; research, teaching and service statements; copies of the scholarship or creative work to be evaluated; and departmental criteria for promotion and tenure.
- Departments have leeway in determining what and how much work the packet will contain (i.e. reviewers might be sent copies of all the candidate's publication or a subset), and this decision should be made in consultation with the candidate. All reviewers should receive identical sets of materials for review.
- All potential reviewers should receive an identical solicitation letter.

- Solicited documents are confidential within the provision of Article 31 (Personnel Files) of the UUP Agreement. Procedures regarding maintaining confidentiality are detailed in sections 7b and 7e below.
- Solicited letters should be current and should be solicited for the specific action under consideration.
- A complete set of solicited letters should be available at the time of the initial level of review.
- All letters solicited and received must be included in the file with clear notation documenting when they were solicited and received.
- Solicitation from reviewers should be undertaken at the earliest reasonable time to ensure a timely review of the dossier. (See “Deadlines for Promotion and Continuing Appointment Requests.”)
- All external reviews must be presented in form of a letter written by the external reviewer, with his or her signature.

The section of the dossier containing solicited letters pertaining to scholarship should contain the following items. Each item is explained in more detail in sections 7a-7e below.

- A statement of the method used to select reviewers.
- A copy of the letter used to solicit external reviews.
- Letters from each external reviewer, accompanied by a statement signed by each reviewer indicating the terms by which the letter may be shared with the candidate.
- A CV or abbreviated CV for each reviewer.

7a. A statement of the method used to select reviewers.

- The file must contain a detailed statement that describes how and why the reviewers were selected. Such a statement must include: who was involved in the process of identifying reviewers; how potential reviewers were identified; how potential reviewers were contacted; how many individuals were initially asked to serve as reviewers; how many declined and their reasons; how many letters were ultimately received. In addition, a brief explanation as to why these particular individuals are qualified to serve as external reviewers must be included.
- A template for describing the reviewer selection procedures is included in Appendix J.
- To achieve the desired number of letters, more than six individuals should be asked to serve as reviewers. It is often necessary to ask 12 or more individuals in order to identify at least six who agree to serve in this role.
- Reviewers should be from peer or better institutions, departments or programs and should hold an academic rank higher than the candidate’s current rank. (For example, only full professors may serve as reviewers for associate professors seeking promotion to full. More senior associate professors may serve as reviewers

for assistant professors seeking promotion to associate: however, departments are encouraged to limit this number and clearly document the reason(s) why they have invited associate professors.)

- In addition, reviewers should be currently active in research, be selected from among the leaders in the candidate's area(s) of specialization, who are familiar with the performance standards and norms for promotion in U.S. academic institutions.
- If a reviewer is not from a peer or better institution, or is not from an academic institution, care must be taken to justify why this individual is a qualified reviewer. For example, there may be instances where a particular department in a non-peer institution is highly regarded in a particular discipline. Or an appropriate reviewer may be a researcher with very relevant disciplinary expertise who works at a research institution or at a university outside the U.S. Reviewers who fit these, or similar situations, may be used, but their number should be limited and the rationale for their choice should be clear and strong.
- In certain circumstances, it may be appropriate to include letters from some reviewers who are professional practitioners (e.g., government officials) in a position to evaluate the quality and impact of a candidate's contributions in other settings. These reviewers should be carefully selected with a view towards their special knowledge of the context and information needs of non-academic institutions and practitioners. Again, a strong justification for their choice and appropriateness must be provided.
- Reviewers that have served in prior personnel actions for the candidate are not recommended. If they are included, identify this prior service and provide a rationale for the repeat service.
- Citation indices should not be used as the sole source of names of prospective reviewers.
- When a candidate's area of research is very highly specialized, it is incumbent on the Chair or person soliciting external letters to find reviewers who are close enough in their disciplinary expertise to be able to review the candidate's work intelligently, while remaining "at arm's length" in their personal ties with the candidate.
- Prior effort should also be made to personally confirm that a proposed reviewer does not have a prior association with the candidate that would compromise his/her ability to give an objective review. The department (or school) must certify the independence of each reviewer (i.e., the basis for the judgment that s/he is detached from the candidate and in a position to deliver an objective review).
- The statement should explicitly address any instances in which a reviewer could reasonably be interpreted to have a potential bias.

7b. A copy of the letter used to solicit external reviews.

- A formal letter requesting an external evaluation should be sent to each reviewer. This letter should come from the department Chair, the faculty member responsible

for compiling the dossier, or the Chair of the ad hoc committee charged with compiling the dossier.

- Reviewers should be encouraged and directed to comment on the candidate's record of achievement from the perspective of the quality standards and productivity norms of the candidate's academic discipline(s).
- Reviewers should not be asked to indicate whether the candidate would receive tenure at the reviewer's institution.
- Reviewers should be asked to comment as specifically as possible concerning the following topics:
 - The quality and quantity of published or submitted work in comparison to individuals at a similar career level in the candidate's discipline(s).
 - In cases of promotion to full, reviewers should be asked to evaluate the candidate's entire career with a particular focus on contributions since tenure.
 - The quality or standing of the publisher and/or of the journals in which the work has been published.
 - The candidate's area or areas of specialization and the significance of her/his contributions to the field.
 - The candidate's reputation nationally and/or internationally and the impact of specific aspects of the candidate's work on others.
 - The nature of past personal interactions, if any, that the reviewer has had with the candidate.
- Under Article 31 of the *Agreement Between the United University Professions and the State of New York*, when official solicitations for evaluation are made and included in the personnel file, the response may be made available to the employee according to the respondent's preference. Reviewers must be instructed to indicate one of the following options at the conclusion of their response:
 1. The candidate may read this recommendation as is.
 2. The candidate may read this recommendation if all identification as to its source is deleted.
 3. The candidate may not read the recommendation.
- **If the respondent does not indicate one of the preceding options, or if the respondent chooses option 3, the statement shall not be available to the candidate at any time, whether before or after the tenure and/or promotion decision.**
- The solicitation letter must
 - avoid biased or leading statements and must request a letter of evaluation, not a letter of recommendation.
 - identify what accompanying materials are being sent to each reviewer.
 - inform reviewers exactly of the candidate's situation (i.e., a candidate for continuing appointment and promotion from assistant professor to

associate professor, or promotion from associate professor to professor). It should also be made clear that "continuing appointment" is equivalent to what is usually called "tenure."

- A template for a letter of solicitation is provided in Appendix K.

7c. Letters from each external reviewer

7d. A CV or abbreviated CV for each reviewer.

- For evaluation of the candidate's research, each reviewer's standing in the field should be documented in an abbreviated CV or extended biography. Each CV/biography should appear immediately following that reviewer's letter in the file.

7e. A statement signed by each reviewer indicating the terms by which the letter may be shared with the candidate.

- See template in Appendix K.

8. Additional solicited letters (if appropriate)

Additional letters from other individuals who are in a position to evaluate the candidate's scholarship may be solicited and included.

- In a case where a substantial amount of the candidate's work is co-authored, it is recommended to solicit letters from co-authors which explain the candidate's contributions to their collaborative work. These letters must explicitly identify the author's association with the candidate, and are not counted toward meeting the minimum requirement of four, independent, external reviews.
- All solicited letters must be accompanied by a statement signed by each reviewer indicating the terms by which the letter may be shared with the candidate.

9. Unsolicited letters of evaluation related to scholarship (if appropriate)

Unsolicited letters and statements, or letters and statements received by persons other than an authorized university official, may be included in the file.

- Unsolicited letters are not confidential or anonymous and are therefore available to the candidate.
- Before placing unsolicited letters in the file, a letter should be sent to persons who have submitted unsolicited letters of evaluation advising the writer that the recommendation is not confidential and will be made available to the candidate as well as to colleagues and administrative officials (please see attached template in Appendix L). The sender should then be given the opportunity to withdraw the letter or affirm his/her intention that the letter not be confidential.

- The file must include a document for each unsolicited letter indicating approval for its use.
- Anonymous statements or letters cannot be placed in the file.

10. Documentation of teaching

Teaching is evaluated based on a variety of types of evidence. This includes the amount and type of teaching as documented on the candidate's employment history and CV, the candidate's statement on teaching, student course evaluations, peer evaluations, primary teaching documents, solicited letters from co-teachers or from instructors for whom the candidate has guest lectured, solicited or unsolicited letters from former students, awards, and other evidence that may illustrate teaching contributions and accomplishments.

Not all files will contain all of these types of evidence, but the file should contain a portfolio of different types of evidence to provide a comprehensive basis for evaluating the quantity, quality and effectiveness of the candidate's teaching and relationships with students. Some of this evidence is prepared by the candidate, and some is prepared by the department.

University policy mandates both peer evaluation and student evaluation as components in the assessment of a faculty member's contribution as an instructor. Thus, while this section must include results of student evaluations (Student Instructional Rating Form [SIRF] or other departmental systems that provide opportunity for comparison across courses and instructors), student evaluations alone are not sufficient. This evidence must include results from some form of peer evaluation.

Comprehensive guidance regarding the documentation of teaching and the performance of peer evaluation in particular can be found among the resources included in the UAlbany Tenure and Promotion Guidelines website

[\[http://www.albany.edu/academics/promotion_tenure/introduction.shtml\]](http://www.albany.edu/academics/promotion_tenure/introduction.shtml). Examples include:

- Peer Observation Handbook [\[http://itlal.org/index.php?q=node/90\]](http://itlal.org/index.php?q=node/90)
- [Peer Review of Teaching—Suggestions and Strategies](#)
- [UAlbany Principles of Effective Teaching](#)

This section of the file should include the following elements:

10a. Description of procedures for required peer and student evaluation of teaching.

An introductory statement describing the procedures the department used to assemble and present documentation of teaching, and to conduct peer evaluations, should be included. This statement should end with a list of the documents that are included in the rest of this section.

10b. Results of peer evaluation of teaching

A summary of the methods used to conduct peer evaluation of teaching, along with a detailed statement that presents an overall evaluation of the candidate's teaching, should be included. This statement, presenting the findings of a peer review committee, should be prepared by a member of the teaching faculty other than the department Chair, and should give a clear indication of the candidate's strengths and weaknesses as a teacher.

The peer evaluation of teaching should be based on the following:

- a representative sample of the candidate's course syllabi, reading lists, examinations, and grade distributions.
- an assessment of the faculty member's role in the departmental teaching mission, including developing new courses, teaching required courses, in serving on doctoral committees, and in mentoring graduate students, if applicable.
- an assessment of the candidate's involvement in the University's curricular and pedagogical initiatives, such as the formulation and teaching of General Education courses, the teaching of writing-intensive courses, the mentoring of students at risk, the teaching of online courses, and so forth.
- first-hand peer observations of classroom performance, if used. If first-hand peer observations of the candidate's classroom performance are used in the department's review, there should be multiple observations, conducted at various time points, and by more than one peer. Departments should avoid conducting peer observations only at the time of the tenure review process.

A copy of any existing department/school's policy and procedures for peer evaluation of teaching is required to be included as well.

10c. Analysis of student evaluations of teaching

For candidates for promotion to Associate Professor, the department will prepare a comprehensive report and summary analysis of all student evaluations during the candidate's employment at UAlbany. For candidates for promotion to Full Professor, a report and summary analysis of at least the five most recent years of student evaluations will be prepared. Both qualitative and quantitative data are expected. A presentation of raw data alone will not meet this requirement. In preparing the report, all the actual evaluations and questions used are to be tabulated or graphed in a way that reveals individual strengths and weaknesses that may be obscured by averages.

The report must include:

- course-by-course information on the number of students in the class, the number of students responding and the percentage of responses.

- comparative information dating back at least five years, that includes (1) departmental average rating with the candidate removed; (2) average rating of instructors teaching the same or similar course; (3) the average number of students enrolled in the same or similar course.
- a summary of the evaluation results and some comparison with others teaching the same or similar courses within the department.
- a summary of student comments, addressing positive and negative themes
- a sample report can be found among the resources included in the UAlbany Tenure and Promotion Guidelines website.

In addition to the report as described above, this section must also include a copy of the student evaluation form that the department uses.

All of the raw student responses from evaluations conducted during the candidate's employment at UAlbany (for tenure decisions) or the raw responses from the previous 5 years (for Promotion to full professor) should be included in the Appendix to the dossier (see item 16 on p. 27)

10d. Solicited and unsolicited letters (if any)

- Letters may be solicited from former (not current) students, co-instructors, hosts of guest lectures, and any other individuals in a position to comment knowledgeably on the candidate's effectiveness as a teacher. Testimony from current students should not be solicited. Any letters solicited from former students should include explicit statements that they are former, not current, students. As solicited statements, these letters may be confidential, at the discretion of the reviewer (see Appendix K).
- Unsolicited letters that speak to the candidate's teaching may also be included here provided they have been properly authorized by the author for disclosure to the candidate (see Appendix L).

10e. Primary teaching documents

Primary teaching documents such as course syllabi, reading lists, tests, major assignments, etc. should be included here, with an explanatory cover sheet prepared by the candidate that outlines how these documents show evidence of excellence in teaching.

- A recent syllabus from each course taught should be included (limited to the past five years for promotion to full professor). If a course has undergone significant change over time, then old and new versions of the syllabus may be included to illustrate modifications. A cover sheet should be included to indicate such changes.

11. Documentation of service

Institutional, professional and relevant service to the community and the public is documented in the CV, in the candidate's statement on service, and in a peer presentation of evidence of effective service contained in this section.

- The documentation of service is primarily composed of letters solicited from the Chairs of significant committees and councils, representatives of professional organizations, journal editors, and/or representatives of community organizations that describe the scope and significance of the candidate's contributions. As solicited statements, these letters may be confidential, at the discretion of the reviewer (see Appendix K). This section should also include statements solicited from individuals in a position to describe and evaluate the particularly distinctive ways in which the individual has changed the institution or the profession or in other ways made a contribution that is uniquely innovative and substantial.
- This section should present comprehensive evidence documenting the quality and quantity of the candidate's service to the institution (department, school/college, university, SUNY system), profession, and community. Just as statements concerning the candidate's scholarly attainments and teaching effectiveness need to be supported by external evaluations and student and peer assessments, the candidate's service contributions should also be documented with external evaluations.
- Service to the institution (department, school/college, university) typically involves committee service. Service to the institution may also include distinctive contributions on behalf of core functional areas (e.g., statistical consulting, mentoring special student groups, contributions to the development of new policies or services to enhance university efficiency, effectiveness or excellence, generation of reports of recommendations upon request by university leadership, and other distinctive contributions).
- Service to the profession includes activities such as manuscript reviews, journal editorships, organization or leadership of conferences, invited presentations, active involvement and leadership in professional societies and organizations, and production of texts, other publications and media products which are widely used tools that contribute to a profession's collective effort aimed at research and education.
- Service to the community typically includes activities such as consultantships (both paid and pro bono), presentation of testimony, and leadership involvement in community groups whose interests are related to the candidate's field of expertise.
- Unsolicited letters that speak to the candidate's service may also be included here provided they have been properly authorized by the author for disclosure to the candidate (see Appendix L).

12. Information about major scholarly journals or creative venues in the candidate's field

The department (not the candidate) should prepare a list of the major scholarly journals in the candidate's field and a comparison with the journals in which the candidate has published. This information should include rankings or other indications of journal quality, as well as an indication of whether each journal is peer-reviewed. Department bibliographers in the University Libraries may be able to assist with information about major journals and impact factors. See Appendix M for a template for reporting this information.

In disciplines where journals are not common as venues for scholarship and creative activities, the department should prepare a list of the major venues for recognition of scholarly or creative contribution.

13. Citation analyses

Detailed citation analyses, when relevant to the candidate's discipline, should be included in every dossier.

- The citation analysis should include citation counts for all of a candidate's publications where available.
- Self-citations should be counted separately from citations by others.
- Citation analyses should be prepared by the department, with relevant input from the candidate as requested.
- Detailed instructions for conducting and presenting citation analyses can be found among the resources included in the UAlbany Tenure and Promotion Guidelines website. A template for presenting the results of such citation analyses in the dossier is included in Appendix N. Additional ideas for conducting citation analyses and measuring research impact can be found among the Library Tenure and Promotion resources at <http://libguides.library.albany.edu/ptsupp>.
- The Chair's letter should explain the disciplinary context for the citation analysis or its absence.

14. Summary of department faculty composition

Departmental policies and procedures about who votes on tenure and promotion cases vary. A table should be prepared by the Chair that describes the composition of the voting faculty in the department

- This table should indicate the number of voting faculty at each rank, with and without continuing appointment.
- In the rare cases where non-tenure-track faculty or students have voting rights for tenure and promotion cases, this should be indicated separately and explained here as well.

15. Written departmental document outlining norms and expectations for tenure and promotion
(see description on p. 10)

16. Appendices

a. Copies of publications

Copies of publications and/or scholarly works should be included in an appendix, or in the case of books, artistic works, etc. included with the file in some way. For promotion to Associate Professor, this usually should include all such works. For promotion to Full Professor, this should include the work completed since the last promotion.

b. Raw course evaluation data

- The actual summary reports from all student course evaluations from the relevant timeframe.
- Any qualitative comments that students have submitted with their evaluations.
- If the candidate has conducted any supplemental evaluations on his/her own, such as qualitative evaluations used for course improvement, the results of those open-ended evaluations can be included here.

COMPLETION OF FILE FOR REVIEW

At this point, the file is complete, and is ready to begin the review process. The candidate should be given the opportunity at this stage to review the non-confidential contents of the file for at least 5 business days before the review process begins.

For a clear view of how a dossier moves through the review process in each School or College, please see Appendix B.

LETTERS OF TRANSMITTAL AND RECOMMENDATIONS FROM REVIEWING OFFICIALS

After each step of the review process, the corresponding meeting minutes or letter from a university official should be numbered and placed into the file. These documents, prepared in the normal course of evaluation by Chairs, Deans, the Provost, and first and second level academic review committees, are non-confidential. Copies of meeting minutes and administrative letters of review will be made available to the candidate who will have the opportunity in reply in writing, such reply becoming a part of the record.

1. Initial Academic Review

The initial academic review occurs in the department (or school/college in units where there are no departments). When an ad hoc faculty committee prepares a written summary of the case in

advance of the departmental meeting, that summary should be inserted into the file before the faculty meeting minutes.

The meeting during which the department/school faculty discuss and vote on the case should be scheduled at a time when it is possible for faculty to attend. The department/school should consider the candidate in accordance with departmental/school by-laws. The discussion should be fact-based and related to the applicable criteria for promotion.

The department Chair or Dean may be present during the discussion but may not vote. Attendees should be reminded of the confidential nature of the discussion.

Minutes of the meeting should be prepared as follows:

- The minutes of the meeting must be prepared by a member of the faculty or staff other than the department Chair or Dean.
- The minutes must be approved by a majority of the faculty of the department in attendance, and the date of such approval should be indicated in the minutes.
- The attendance at the meeting must be recorded, and any absences explained, if possible.
- The minutes should include a summary of all major issues discussed.
- Specific information should be included to explain concerns reflected in the departmental vote.
- The minutes must be a separate document in the file (i.e., reports of department personnel committees or recommendations from a department Chair or Dean may not substitute for these meeting minutes).

Voting should be carried out as follows:

- Promotion to associate professor and continuing appointment are concurrent activities and addressed by a single vote, except when a candidate was hired as an associate professor without tenure. In this instance, the vote will only be for continuing appointment.
- Voting should be anonymous (identified by tenure status only) and carried out by written ballot.
- Voting should be carried out only among those who have reviewed the dossier and who are physically present for the meeting.
- The vote of eligible department members must be tabulated by tenure status (i.e. tenured, non-tenured), and recorded in the minutes. If department procedures include non tenure-track faculty or student votes, those should be recorded separately (and explained in the "Summary of Department Faculty Composition" document.)
- If categorizing votes by tenure status jeopardizes the anonymous nature of the vote (for example if a department only had a single tenured, or non-tenured, faculty member), then only the total vote should be reported, and this should be explained in the minutes.
- The vote should also be recorded on the "Summary of Actions" form.
- Visiting faculty not in tenure track positions at UAlbany are not eligible to vote.

- A faculty member unable to be present for the meeting discussion and vote may provide a letter to the Chair or Dean indicating his/her position on the case. Such a letter should be read at the meeting, before the vote is taken, and accounted for in the summary of the departmental discussion; however, such a letter does not constitute a “vote.” Letters from faculty members unable to be present for the discussion and vote shall be inserted into the file as unsolicited letters.

Access to the meeting minutes and the results of the departmental/school vote should be given to the candidate. The candidate has 5 business from the date of receiving the recommendation to submit a response if he or she wishes. The response is added to the file.

2. Initial Administrative Recommendation (Chair’s or Dean’s Letter)

After the departmental meeting, the Chair (or Dean, in circumstances with no departments in the School or College) shall prepare a written recommendation and evaluation of the candidate. This letter should:

- include references to the criteria set forth in these Administrative Procedures and should discuss both the positive and negative aspects of the case.
- represent the Chair's or Dean’s individual evaluation and recommendation (either positive or negative) on the issue.
- present a detailed synthesis of evidence obtained from internal and external sources on behalf of the requested personnel action, unless it has been provided in a prior document, such as an ad hoc committee summary.
- address in detail each of the three criteria (scholarship, teaching, and service) for promotion and/or continuing appointment.
 - The statement should provide an interpretation of the significance of the candidate's scholarly contributions, as well as a discussion of the role and effectiveness of the candidate as a faculty member in the department or school.
 - The statement should describe the candidate’s effectiveness and skills as a teacher.
 - The statement should discuss both the quantity and quality of the candidate's contributions and performance related to university, professional, and relevant community service.
- provide, for each criterion, a context within which to evaluate evidence in the file; for example, the performance should be compared with productivity norms and expectations for the candidate's academic discipline. The department’s written document explaining expectations for tenure and promotion should be included in the dossier (see item 15 on p. 27) to help explain the context in which the candidate was evaluated.
- contain information about norms in the discipline or disciplines regarding co-authorship, and about the meaning of first, last, or senior authorship.
- include an explanation, if possible, of negative votes at the initial academic review level. If it is not already recorded, the statement should also indicate the number of faculty members

who did not attend the initial academic review meeting and, where known, the reasons for their absence.

A copy of the Chair's (or Dean's) report should be provided to the candidate and should also be available to the department/school faculty. The candidate has 5 business from the date of receiving the recommendation to submit a response if he or she wishes. The response is added to the file.

For an additional resource, see "Guidelines for Writing a Chair's Letter" which can be found among the resources included in the UAlbany Tenure and Promotion Guidelines website [http://www.albany.edu/academics/promotion_tenure/introduction.shtml].

3. Subsequent Academic Review

The "Subsequent Academic Review" (referred to in Article 33.1.c of the UUP's *Agreement between United University Professions and the State of New York*) shall be the formal action of a "committee of academic employees" as follows:

- For faculty of the College of Arts and Sciences, the committee will be the College's Tenure and Promotion Committee.
- For faculty of the School of Business, the committee will be the School's Personnel Committee.
- For faculty of the School of Education, the committee will be that School's Appointment, Promotion, and Tenure Committee.
- For faculty of the School of Public Health, the committee will be the School's Appointment, Promotion, and Continuing Appointment Committee of the School's Faculty Council.
- For faculty of the Rockefeller College, School of Criminal Justice, School of Social Welfare, the College of Computing and information, and the University Libraries, the committee will be the CPCA. (Please see Appendix B)

For all cases of promotion and continuing appointment, when a member of the candidate's department of primary appointment is also a member of the school or college's personnel committee, such individual will be excluded from school or college personnel committee meetings at which the candidate's case is being considered.

The subsequent academic review committee shall report its vote to the Dean or Provost (where applicable) and the candidate. The committee shall also provide a brief statement explaining the reasons for the committee's recommendation. The statement should also explain any dissenting votes and describe, where applicable, any reservations about the case. The committee's vote and report must be included in the dossier.

A copy of the report must be provided to the candidate. The candidate has 5 business from the date of receiving the recommendation to submit a response if he or she wishes. The response is added to the file.

4. Dean's Recommendation

The Dean will review the file for completeness and adherence to procedural rules, and prepare a written statement. The Dean's statement may comment on procedural or substantive issues as appropriate.

The Dean's statement will include a detailed review of the candidate's qualifications in scholarship, teaching and service. In addition, the Dean will describe special circumstances and distinctive values and contributions that the candidate brings to the school or college. Finally, the Dean's statement will provide, if possible, an explanation of negative votes at the second level review.

A copy of the Dean's comments and recommendations must be provided to the candidate before the case is sent to the next level of review. The candidate has 5 business from the date of receiving the recommendation to submit a response if he or she wishes. The response is added to the file.

An electronic copy of the entire dossier, along with any appendix materials that must be presented in alternate formats must be transmitted by the Dean to the Office of the Provost on a flash drive or disk. A signed paper and PDF version of the "Summary of Action Form" should accompany the dossier. See Appendix D for instructions on how to assemble an electronic copy.

5. Recommendation by the Council on Promotions and Continuing Appointments (CPCA)

The staff member who supports the CPCA shall review the file for completeness and will then forward the material to the CPCA for review. The Council will review the case first as to form, for conformance with these administrative procedures. If the Council finds the file in order, the review will focus on an assessment of the merits of the case, reviewing evidence in the file that supports the conclusions reached at prior review levels.

For all cases of promotion and continuing appointment, when a member of the candidate's department of primary appointment is also a member of the CPCA, such individual will be excluded from CPCA meetings at which the candidate's case is being considered.

A written recommendation will be developed and approved by the CPCA. This written recommendation will contain the results of the CPCA vote as well as a summary of the Council's discussion.

A copy of the recommendation of the CPCA must be provided to the candidate. The candidate has 5 business from the date of receiving the recommendation to submit a response if he or she wishes. The response is added to the file.

6. Recommendation by the Provost

After the CPCA has completed its deliberations, the Provost will review the case and prepare a letter of transmittal to the President with a recommendation. A copy of this recommendation will be provided to the candidate. The candidate has 5 business from the date of receiving the recommendation to submit a response if he or she wishes. The response is added to the file.

7. Decision by the President

In accordance with Article 31 of the *UUP's Agreement between United University Professions and the State of New York*, the President, or a designee, will advise the candidate upon receipt of the case and provide at least five working days for the candidate to examine and respond to the non-confidential portions of the file before a review and decision is made.

Following this opportunity for review and response, the President makes a decision about the case and notifies the candidate. The case moves forward to the Chancellor for confirmation and notification.

8. Confirmation by Chancellor and final notification to candidate

OTHER PROCEDURAL ISSUES AND CONSIDERATIONS

ACCESS TO THE FILE BY THE CANDIDATE –

The candidate may have access to the non-confidential material in the file, upon proper request after each level of review. To provide consistency and avoid misunderstanding, the following rules and procedures will apply:

- Upon specific request to the university officer having temporary custody of the file (department Chair, Dean, Provost), the candidate shall be permitted to examine the document register.
- The candidate is permitted to examine, but not take custody of, the non-confidential material in the file by making a written request to the appropriate university officer (department Chair, Dean, Provost). That officer will secure the material and schedule an appointment for examination of the file as soon as possible, but not later than five (5) working days from the date of the request. The candidate has 5 business from the date of receiving the recommendation to submit a response if he or she wishes. The response is added to the file.
- Article 31.6a of the [*UUP Agreement between United University Professions and the State of New York \(2011-2016\)*](#) states that the candidate shall have access to all of the non-confidential portions of the file after all recommendations have been prepared for the President's review. The candidate should apply, in writing, to the Office of the Provost

requesting to see the file before the President takes action. When the file is complete, the Office of the Provost will arrange the review. Pursuant to Article 31.6.c of the *Agreement between United University Professions and the State of New York*, “examination of the file and response to material contained therein to which the employee has access pursuant to subdivision 31.6(a) or subdivision 31.6(b) shall take place after the file has been submitted to the management administrative officer of the College, but prior to this officer’s consideration of its content.” Should an employee wish to review and respond to the material in his/her file prior to the management administrative officer’s (in the case of the University at Albany, the President), he/she should make formal request in writing to the Provost’s Office upon receiving the Provost’s recommendation.

ADDING MATERIALS TO THE FILE –

The candidate is allowed and encouraged to add materials to the file as follows:

- The candidate, if he or she chooses, is allowed to include a written response to each recommendation (i.e., department vote, Chair’s letter, school committee vote, Dean’s letter, etc.) during the review process. That response must be submitted within 5 business days of receiving the recommendation, and added to the file.
- The candidate is allowed to add materials to the file (e.g., new manuscripts, published works, new teaching evaluations) during the course of the process. This is done by sending any new materials electronically or physically to the current custodian of the dossier (this custodian might be in the department, the Dean’s office, the Provost’s office, or the President’s office, depending on stage of review.) The custodian will place the new documents in the file and update the Document Register.

VOTING AND REVIEW PROCEDURES –

- Promotion to Associate Professor (or Associate Librarian) and consideration for continuing appointment are concurrent activities as evidenced by a single vote. In no case will a recommendation for continuing appointment at the rank of Assistant Professor (or Assistant or Senior Assistant Librarian) be considered.
- During the review process, discussion of the candidate’s qualifications should focus on the applicable criteria and exclude references to matters that are not appropriate for consideration. Distinctions between legal and illegal inquiries are outlined in a document prepared by the Office of Diversity and Inclusion, and available on the P&T website. Although designed for initial appointment interviews, this chart is equally applicable to reviews for promotion and continuing appointment and should serve to prevent any inadvertent references to inappropriate areas of discussion.

- A faculty member is only allowed to vote on a particular case at one level. Therefore, when a member of the candidate's department of primary appointment is also a member of the school or college's personnel committee, or a member of the CPCA, such individual will be excluded from the school or college personnel committee meetings, or from CPCA meetings, at which the candidate's case is being considered.

PERSONAL PRESENTATIONS BY THE CANDIDATE –

Although personal presentations are rare, the candidate has the right to appear before the department, the school/college committee considering promotion and/or continuing appointment, and the CPCA, if the candidate so desires. The candidate who wishes to make a personal presentation, must make a written request prior to the meeting at which the case will be reviewed.

RECONSIDERATION REQUESTS –

In accordance with Section VI of University Senate Bill No. 8990-28, when a member of the faculty has been considered for continuing appointment in the mandatory year and a negative decision has been rendered, this action should be considered final. Exceptional circumstances may cause a candidate to feel that substantial new evidence of productivity justifies reconsideration of his/her case. In such exceptional circumstances, the following procedures shall apply.

1. The candidate must notify his/her department Chair of his/her request for reconsideration. This notification must be made no later than October 3 for candidates within the typical appointment cycle (Fall hires). For candidates who joined the University mid-year, or who, as a result of leaves or periods in unqualified rank, are on a "Spring hire" cycle, the notification must be made no later than March 1.
2. The candidate shall provide the department with the new evidence no later than October 15 or March 12 for the Spring cycle.
3. The faculty members of the department will meet to evaluate the new evidence. Only if the department concludes that the new evidence establishes a substantial change from the situation during the previous consideration will the case be reconsidered and votes taken as in an original consideration. If the reconsideration results in a negative vote by the faculty and a negative recommendation by the Chair, the action is final; the request will not be forwarded for further consideration, and the Dean, Provost and President will be notified. If the reconsideration results in a positive recommendation by either the department or the Chair, the recommendation for continuing appointment will be transmitted to the school or college.
4. When a positive recommendation is forwarded by a department, each subsequent level of review shall determine to its own satisfaction whether or not there is substantial new

evidence warranting reconsideration. This determination will involve a comparison between the total record on which the University decision in the mandatory year was based and the new evidence, available since that decision date, presented by the candidate.

5. A decision at the school or college level not to reconsider shall be transmitted to the CPCA. The Council shall inform the Provost and President if it, in turn, declines to reconsider that case.
6. If the school or college, or the CPCA, concludes that there is substantial new evidence, it will then send forward in the usual manner its vote for or against promotion and continuing appointment.
7. Final actions, including a department’s negative decision, will be communicated to the candidate by the President on or before November 17 of the reconsideration year, or April 14 for Spring hires.

Thus, all action on such requests must meet the following schedule:

For Fall Hires	For Spring Hires	Actions
October 3	March 1	An individual requesting reconsideration of a request for continuing appointment must notify his/her Department Chair of his/her request.
October 15	March 12	All material and new evidence must be provided by the candidate to the department for action by this date. All other steps for review will be followed and scheduled as needed.
November 17	April 14	The President will officially notify a candidate for reconsideration of approval or disapproval of that request.

STOPPING THE TENURE CLOCK —

It is recognized that external circumstances sometimes preclude continuous progress towards tenure. These circumstances can include, but are not limited to, medical, child-care or elder-care issues, or the opportunity for a significant assignment away from tenure activities.

Tenure-track faculty may be placed in status that provides a temporary suspension of their tenure clock. In such cases, the faculty member is appointed to a qualified academic title (usually Visiting Assistant Professor) during which time the faculty member still has a full-time obligation to their department or other assignment, but he or she does not accrue time toward tenure. To request a qualified academic title, the faculty member should discuss with his or her department Chair the need for such an appointment status. The department Chair should prepare a written request and rationale and submit this to the Dean. This statement should not reveal information of a private and/or confidential nature. The Dean should add his/her recommendation and forward the request to the Provost. Documentation of the Provost's decision will be sent to the Dean, department Chair, and faculty member.

There are various other forms of paid and unpaid leave as well, some of which are described in the *SUNY Policies of the Board of Trustees* and the *UUP's Agreement between United University Professions and the State of New York*. Any periods of paid or unpaid leave, or any time spent in a qualified rank, do not count toward time to tenure.

The *UUP Agreement* typically contains provisions for the Nuala McGann Drescher Affirmative Action/Diversity Leaves, which may provide an opportunity for research leave for some faculty. As this is part of the *UUP Agreement*, it is not a permanent or consistent source of support for UAlbany faculty. However, information about the Drescher Leave and its availability can be obtained from the Joint Labor Management Committees (JLMC). Recipients of Drescher Awards should be aware that while the tenure clock can be stopped during the time period covered by a Drescher Award, receipt of a Drescher does NOT automatically stop the clock. A separate request to be placed in qualified rank during a Drescher Leave period is necessary for the suspension of the tenure clock to occur.

PROCEDURES FOR EARLY CONSIDERATION FOR TENURE –

Early consideration for tenure is possible, and must be initiated by special request of a candidate. While it is not a routine occurrence, early consideration most commonly occurs when a candidate brings prior experience to his/her UAlbany faculty appointment. The decision to begin the tenure review process before the mandatory deadline should be made in consultation with the department Chair and Dean, and should only be made when there is consensus within the department and among the Chair/Dean that the case has a strong likelihood of success. The standards and expectations for tenure and promotion remain the same whether the case is presented early or in the mandatory year. The decision to advance a file early should not be made lightly, as once initiated, the review process typically cannot be stopped (see subsequent section).

STOPPING THE REVIEW PROCESS AFTER INITIATION –

Except in very rare and unusual circumstances, the mandatory tenure review process, once started, carries with it the expectation that it will be completed in a timely manner and it cannot be stopped. In rare cases where unusual circumstances warrant a temporary suspension of the process, such

circumstances require written documentation that becomes part of the candidate's file. A candidate has the right to stop the review process at any time and resign from his/her faculty position.

For cases involving a request for promotion to full professor, the review process can be put on hold temporarily at any level of review. If it is stopped for lack of sufficient evidence warranting promotion, the dossier can be sealed, or the dossier can be held until new evidence appears, and then acted upon or resubmitted to the CPCA for review at the Provost's discretion. In no case will documents contained in the file be removed or replaced once the process starts. New documents may be added at any time.

PROCEDURES FOR JOINT APPOINTMENTS

A joint appointment exists when a faculty member is appointed to one department, but has an appointment to another department as well. In such cases, a primary department is designated at the point of initial employment and has responsibility for all personnel actions related to that individual, including term renewals, leaves, discretionary salary awards, and the tenure review process.

The nature of such joint appointments varies, and the degree of involvement and participation in research, teaching, and service in the secondary department will differ by department and candidate. For example, a jointly appointed faculty member might be invited to department meetings, be involved in curricular discussions, offer cross-listed courses, and have voting rights in the secondary department. The Dean and the two department Chairs should sign a letter of agreement that clarifies the candidate's responsibilities to each department.

The Chair of the secondary department should be asked to provide input for every evaluation for a jointly appointed faculty member. In the case of tenure review, the secondary department Chair should be asked to provide a letter describing the nature and extent of the candidate's involvement in, and contribution to, the secondary department. The secondary department might choose to meet and vote on a candidate's tenure and promotion request, but it is not essential to do so, and any such vote would not be official. Rather, that vote would inform the secondary department Chair's letter about the candidate.

In the dossier, it is important to document how the candidate's time is being spent, and contributions to each department need to be clearly documented.

In some instances, a faculty member may be affiliated or have a courtesy appointment in another department. These arrangements represent more loose affiliations, and are made because a faculty member has some reason to be affiliated (e.g. because of disciplinary expertise or teaching). However, in these cases, the faculty member may or may not have voting rights in the affiliated department, and their contributions may be more minimal. These arrangements must be described in a tenure and promotion dossier, but whether a letter is requested from the Chair of the affiliated department depends on the extent of the candidate's expected involvement in that department.

A dual appointment exists when a faculty member's effort is distributed across two units; typically this means the faculty member is appointed in equal budget increments to two different departments or colleges. Although one of these departments is designated as the primary department, there is a set distribution of time, effort, and FTE across the two departments. These arrangements are rare, and when they exist, care must be taken to create a statement regarding the faculty member's division of responsibility that is appropriate for that faculty member's dual appointment arrangement. The relevant Chairs and Deans should create such a statement, in writing, early in the faculty member's employment, which should then be approved by the Provost.

In cases of dual appointment, both departments should have a formal role, and vote, in the tenure review process, so that the candidate gets due consideration of all contributions he or she has made across both departments. The statement, described above, which delineates the faculty member's responsibility to each department, should also clearly delineate how the tenure review process will proceed. This statement should describe, for example, whether each department will form an ad hoc committee to oversee the case, or whether a joint committee comprised of faculty members from each department will be formed. The statement should also describe who will vote on the case, and the timing of how the voting process will be carried out across the two units.

This document should be included in the candidate's dossier. In addition, the Chair's letter should describe the nature of the candidate's appointment across the two departments.

PROCEDURES FOR LIBRARY FACULTY

The *Policies of the Board of Trustees of the State University of New York* defines librarians as academic faculty. As outlined in the present document, the criteria for the evaluation of faculty include scholarship, teaching and service. The corresponding performance criteria for University Libraries faculty are effectiveness in librarianship, scholarship, and service. The procedures for library faculty differ slightly from those outlined in this document, and are described in Section 3.2.2 of the Library Faculty Handbook and can also be found at

[\[http://www.albany.edu/academics/promotion_tenure/library_faculty.pdf\]](http://www.albany.edu/academics/promotion_tenure/library_faculty.pdf).

Appendices

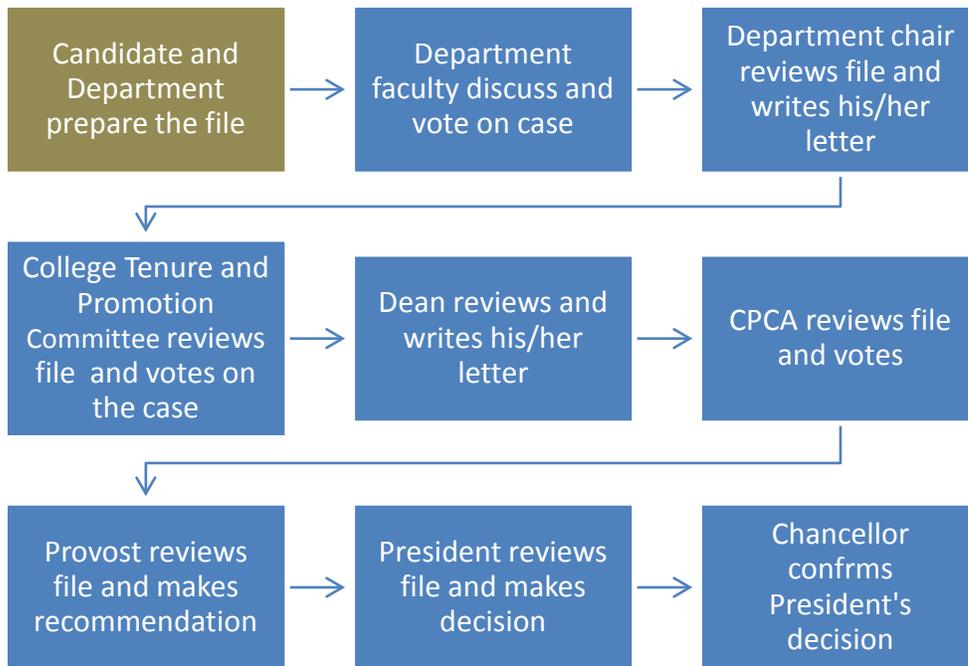
- A. School/college deadlines
- B. Schematic of review process for each School and College
- C. Checklist for contents of promotion and/or continuing appointment file
- D. Instructions for preparing electronic copy of file
- E. Cover sheet
- F. Document register
- G. Summary of Action Form
- H. Curriculum Vitae template and sample
- I. Guidelines for the selection of external reviewers
- J. Template for explaining selection of external reviewers
- K. Template for letter of solicitation for external reviewers
- L. Template for letter of release for unsolicited letters
- M. Major journals in candidate's discipline template
- N. Citation analysis template

Appendix A: School / College Promotion Deadlines

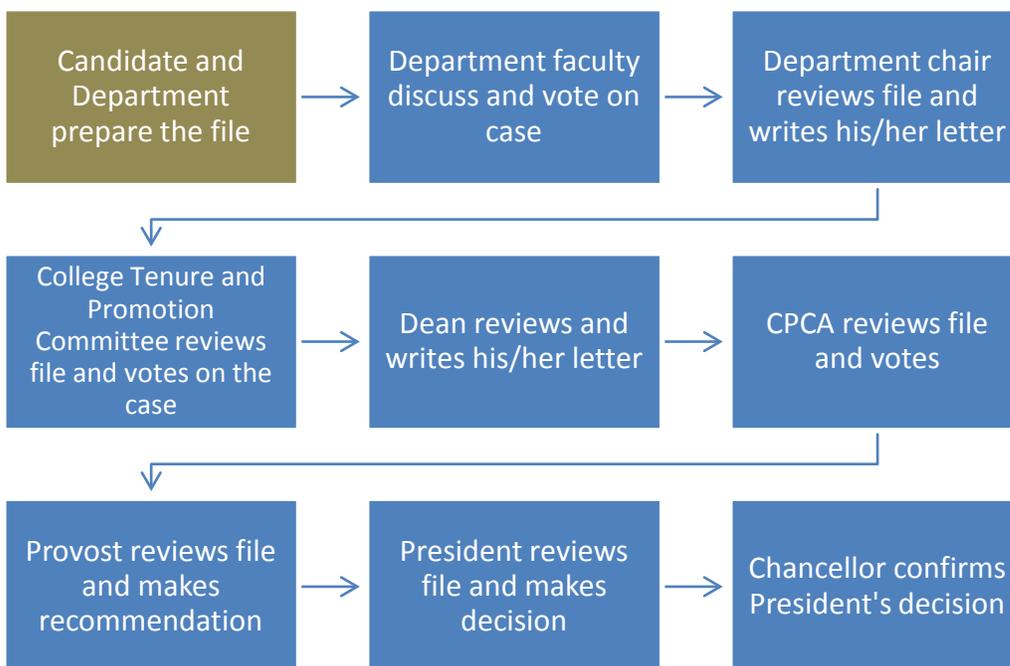
School / College	For Decision by May 15		For Decision by January 15	
	Case due from department to School/College office/committee	Date by which case is due to Dean	Cases due from department to School/College office/committee	Date by which case is due to Dean
College of Arts and Sciences	Oct 15 (Dec 1 for promotion only)	Dec 15 (Jan 15 for promotion only)	March 1 (For mandatory tenure and promotion <u>and</u> promotion-only cases)	April 15 (May 1 for promotion only)
School of Business	Oct 15 (Dec 1 for promotion only)	November 15 (Dec 15 for promotion only)	March 15 (April 15 for promotion only)	April 15 (May 1 for promotion only)
School of Education	Oct 15 (Dec 1 for promotion only)	November 15 (Dec 15 for promotion only)	March 15 (April 15 for promotion only)	April 15 (May 1 for promotion only)
College of Computing and Information	(no College committee)	November 15 (Dec 15 for promotion only)	(no College committee)	April 15 (May 1 for promotion only)
Rockefeller College of Public Affairs & Policy	(no College committee)	November 15 (Dec 15 for promotion only)	(no College committee)	April 15 (May 1 for promotion only)
School of Criminal Justice	(no School committee)	November 15 (Dec 15 for promotion only)	(no School committee)	April 15 (May 1 for promotion only)
School of Social Welfare	(no School committee)	November 15 (Dec 15 for promotion only)	(no School committee)	April 15 (May 1 for promotion only)
School of Public Health	Oct 15 (Dec 1 for promotion only)	November 15 (Dec 15 for promotion only)	March 15 (April 15 for promotion only)	April 15 (May 1 for promotion only)
University Libraries	The week after final exams end	December 15	The week after final exams end	May 15

Appendix B: Schematic of Review Process for each School and College

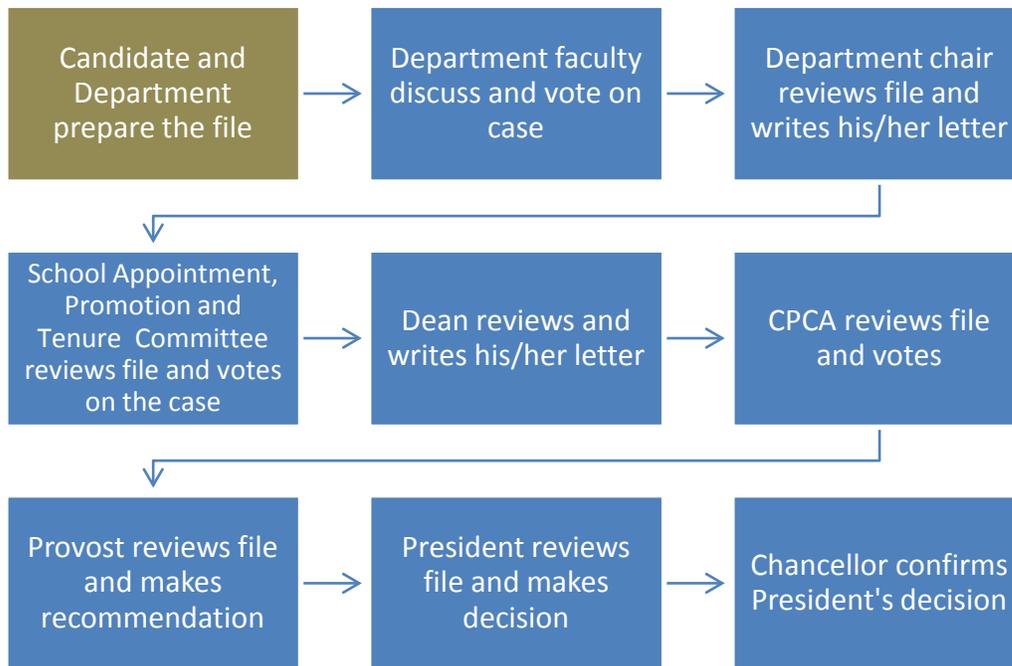
College of Arts and Sciences:



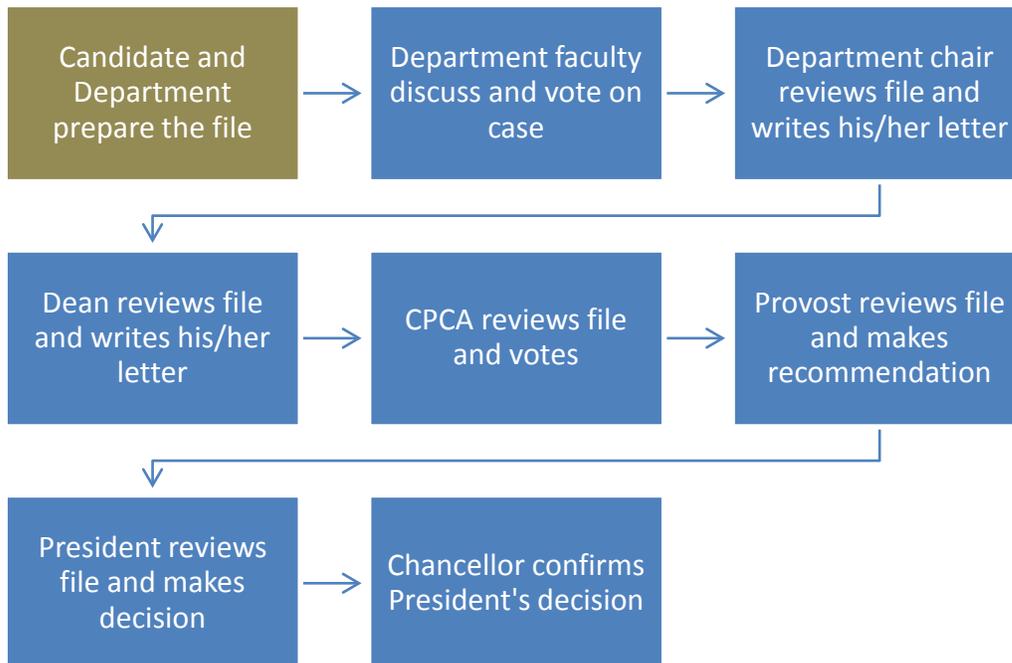
School Of Business



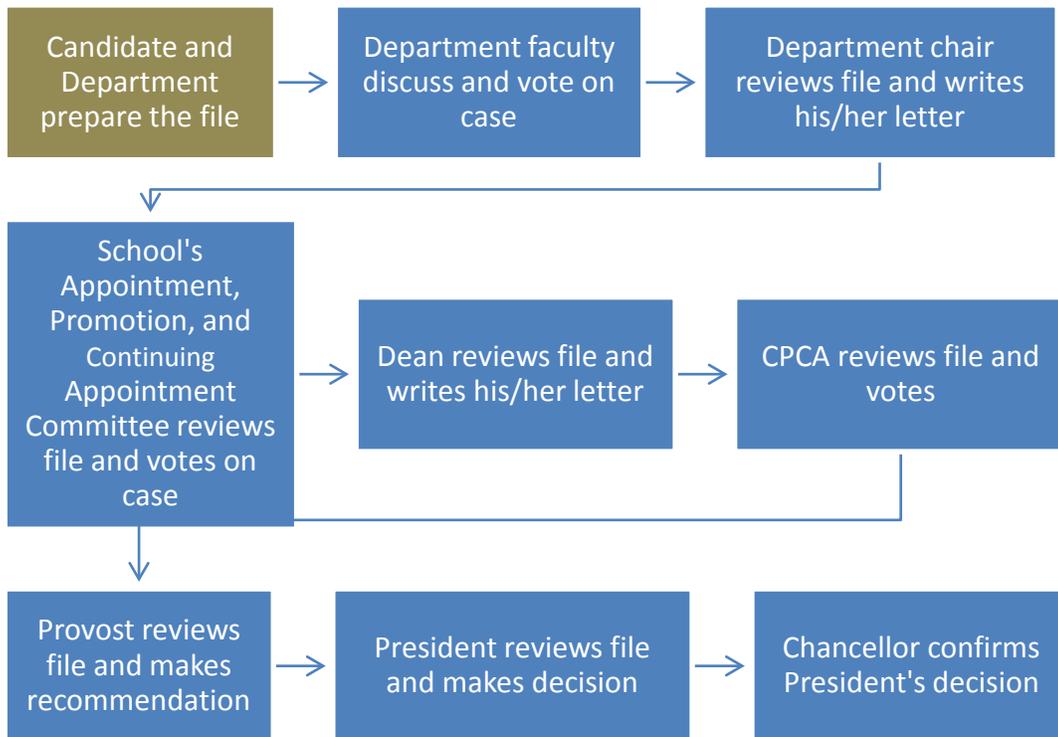
School of Education



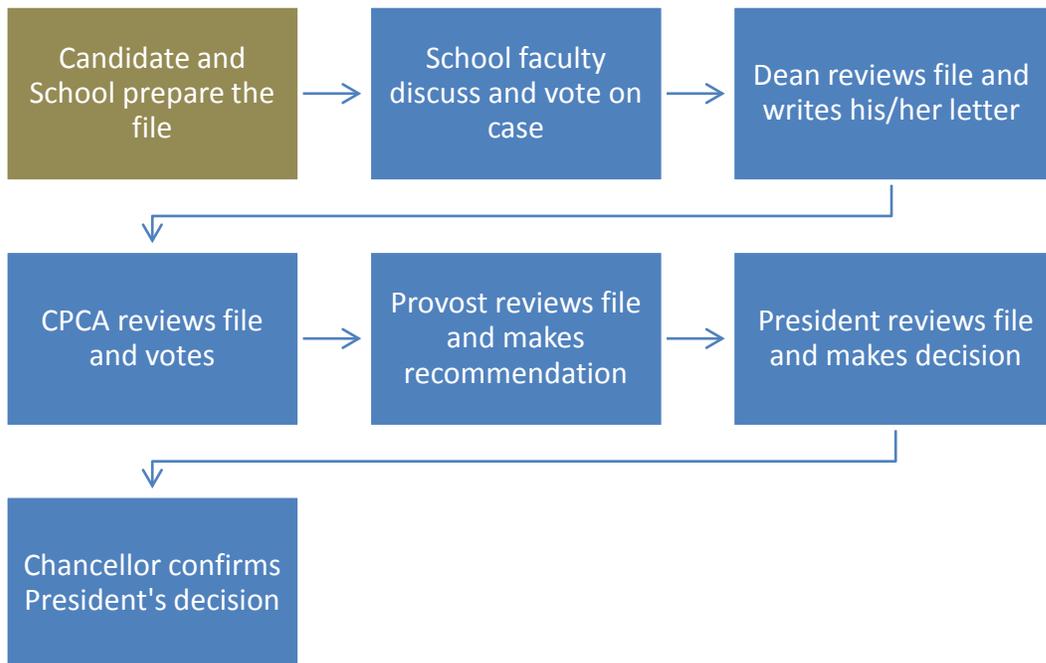
Rockefeller College



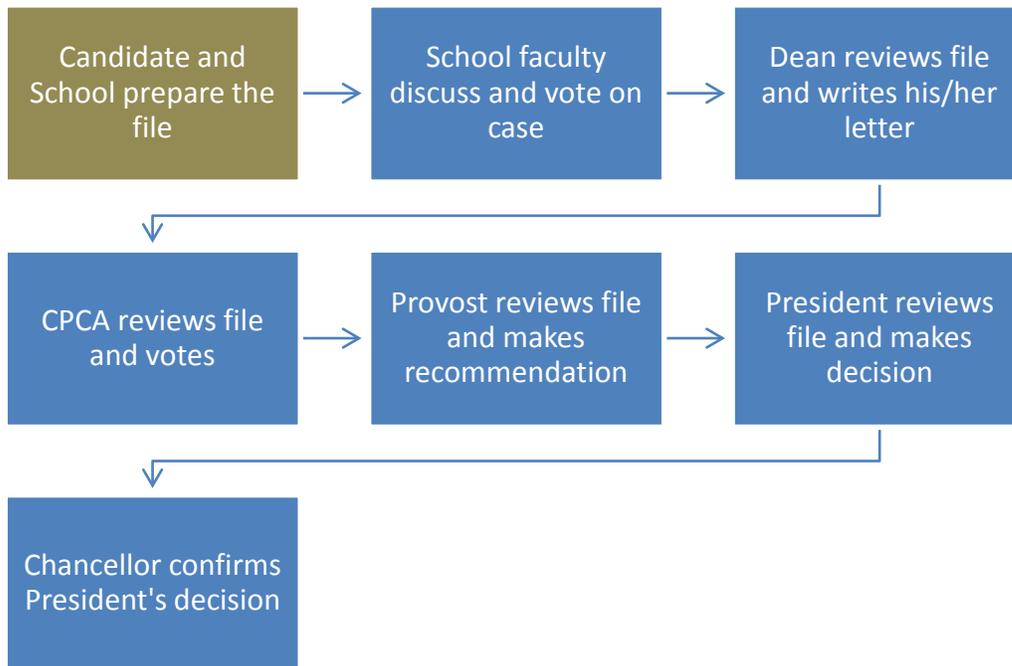
School of Public Health



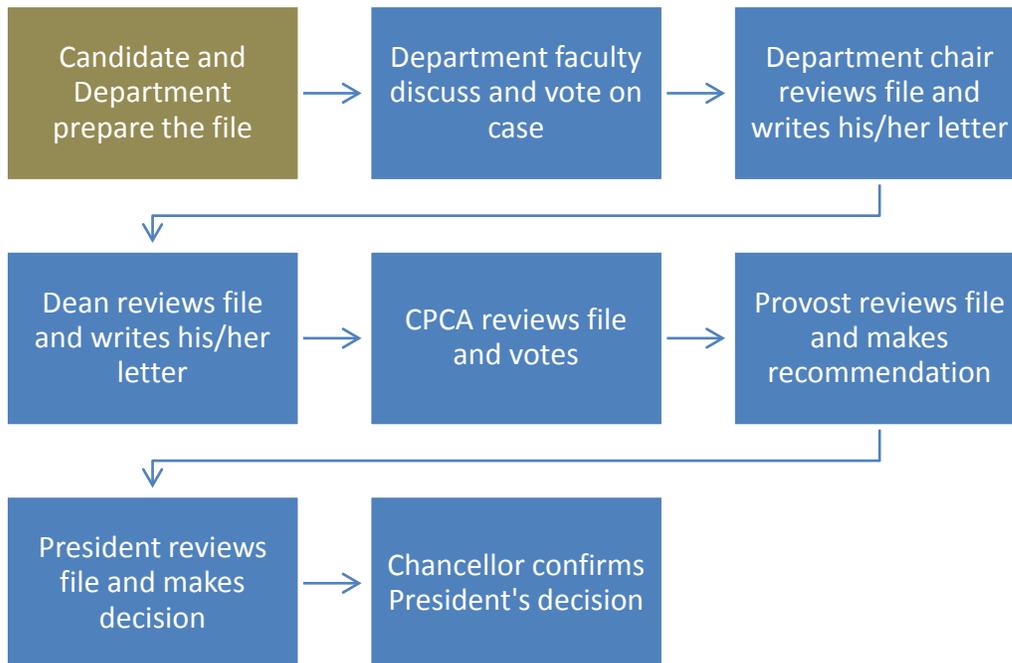
School of Criminal Justice



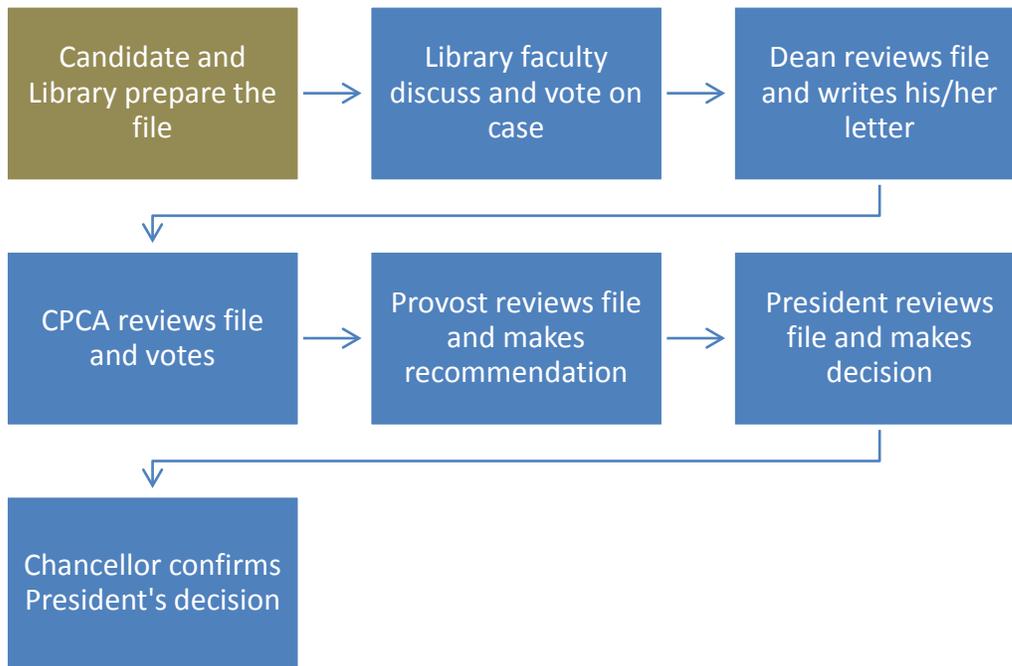
School of Social Welfare



College of Computing and Information



Libraries



**Appendix C: Checklist for Contents of Promotion and/or Continuing Appointment File
(Template)**

Note: Items notated with (template) indicate documents for which standalone versions of document templates, in Word format, are available. These templates are available on the T&P website, and can be downloaded for use by individuals preparing the file.

- ___ 1. Cover sheet (template)
- ___ 2. Document Register (template)
- ___ 3. Summary of Actions Form (template)
- ___ 4. Curriculum Vitae, signed and dated by candidate (template)
- ___ 4a. Candidate's description of individual role and contribution for co-authored work (if applicable)
- ___ 5. Candidate's UAlbany employment history and course assignments
- ___ 6. Candidate's research, teaching and service statements
- ___ 7. Solicited letters from external reviewers
 - ___ a. A statement of the method used to select external reviewers (template)
 - ___ b. A copy of the letter used to solicit external reviews (template)
 - ___ c. Letter from each external consultant
 - ___ d. A CV or abbreviated CV for each consultant
 - ___ e. A statement signed by each consultant indicating the terms by which the letter may be shared with the candidate (template)
- ___ 8. Additional solicited letters, if any
- ___ 9. Unsolicited letters of evaluation, if any, each accompanied by letter of release (template)
- ___ 10. Documentation of teaching
 - ___ a. Description of procedures for required peer and student evaluation of teaching
 - ___ b. Results of peer evaluation of teaching
 - ___ c. Analysis of student evaluations of teaching, plus copy of student evaluation form
 - ___ d. Solicited and unsolicited letters, if any
 - ___ e. Primary teaching documents
- ___ 11. Documentation of service
- ___ 12. Information about major scholarly journals or creative venues in the candidate's field (template)
- ___ 13. Citation analyses (template)
- ___ 14. Summary of department faculty composition
- ___ 15. Written departmental document outlining norms and expectations for tenure and promotion
- ___ 16. Appendices
 - ___ a. Copies of publications

- _____ b. Raw course evaluation data

- _____ 17. Letters of transmittal and recommendations from reviewing bodies and officers
 - _____ a. Summary of department recommendation and vote
 - _____ b. Chair's letter
 - _____ c. Summary of college/school committee recommendation and vote
 - _____ d. Dean's letter
 - _____ e. Recommendation from the Council on Promotions and Continuing Appointment
 - _____ f. Provost's recommendation

Appendix D: Instructions for Preparing Electronic Copy of Tenure File

1. Organize the electronic copies in the order as described in the *Procedures for Tenure and Promotion*
2. Keep the Document Register updated with the correct document numbers, in the order in which they should appear. See instructions for the document register under “Contents of the File” template for the document register in Appendix F of in the *Procedures for Tenure and Promotion*.
3. Number each document and name each file in a consistent way (e.g. “01_Cover Sheet_nameofcandidate”; “02_Document_Register_nameofcandidate”, etc.
4. Convert all electronic documents into separate PDFs
5. Create a single PDF with all materials in the correct order.
6. Create Appendices. These should be a separate document, and be presented as a PDF if possible. When submitting books, creative products, or other items impossible to present as PDFs, number and name them in a consistent manner in the document register, and submit as physical documents, CDs, DVDs, Jpegs or videos that use current technologies supported by the University. Please contact Ben Weaver in the Provost’s Office (bweaver@albany.edu) to inquire about acceptable formats.
7. Submit the dossier on a disk or flash drive. Each document in the dossier should appear as a separate PDF that is named according to the instructions. There should also be one PDF that includes all materials in the correct order. Submit any appendix materials that must be presented in alternate formats along with the flash drive or disk.
8. Include a **PDF and a paper** version of the “Summary of Action Form” with the signatures from the most recent review.

Appendix E: Promotion and Continuing Appointment Cover Sheet

(Template)

Note: Items notated with (template) indicate documents for which standalone versions of document templates, in Word format, are available. These templates are available on the T&P website, and can be downloaded for use by individuals preparing the file.

Name of Candidate _____

Request for: _____ Continuing Appointment and Promotion from
_____ to _____
(current rank) (proposed rank)

_____ Promotion from _____ to _____
(current rank) (proposed rank)

_____ Continuing Appointment at rank of _____
(for new appointees)

Candidate's Present Appointment:

Rank/Title _____
Department _____
School/College _____
Institution/Organization _____
(if not currently a University at Albany faculty member)

Tenure Notification Date _____
(if applicable)

Second Level Academic Review Body Shall Be:

**Appendix G: Summary of Action Form
(Template)**

Request for: Continuing Appointment and Promotion to Associate Professor
 Continuing Appointment Promotion to Full Professor

on behalf of _____
(name of candidate)

of the department of _____ in the _____
(name of department) (name of school)

Departmental Recommendation

Date of faculty meeting _____

Results of departmental vote:
Tenured Faculty
Non-Tenured Faculty
Total Faculty Vote

<u>For</u>	<u>Against</u>	<u>Abstain</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

Chair's Recommendation

Approve Disapprove

(Chair's signature) (Date)

Second Level Academic Review Committee

(name of committee)

Date of Meeting _____

Results of vote:
Faculty Vote

<u>For</u>	<u>Against</u>	<u>Abstain</u>
_____	_____	_____

Dean's Recommendation

Approve Disapprove

(Dean's signature) (Date)

Council on Promotions and Continuing Appointment

Date of Meeting _____

Results of vote:
Total Vote

<u>For</u>	<u>Against</u>	<u>Abstain</u>
_____	_____	_____

(CPCA Chair's signature)

Provost's Recommendation

Approve Disapprove

(Provost's signature) (Date)

President's Action

Approve Disapprove

(President's signature) (Date)

Appendix H: Curriculum Vitae Template

- The candidate is responsible for preparing his/her own CV, and signing and dating it.
- This template indicates a preferred format. Other formats may be used if they contain all appropriate data, and conform to directions as described in *Procedures for Promotion and Tenure Review at the University at Albany*.
- Not all sections listed below will apply to every discipline; candidates should add/delete sections as appropriate.
- Please list information in reverse chronological order (most recent to least recent) in each section.

CANDIDATE’S NAME

(candidate’s name and date of CV should also appear as header in upper right corner of each page)

**DEPARTMENT
OFFICE ADDRESS
CONTACT INFORMATION**

**CANDIDATE’S SIGNATURE
DATE**

EDUCATION

Date recv’d	Degree, Specialization, and Institution Thesis Title and mentor
Date recv’d	Degree, Specialization, and Institution Thesis Title and mentor
Date recv’d	Degree, Specialization, and Institution

EDUCATIONAL EMPLOYMENT *(All Previous)*

Dates of Service	Title, Institution, Location
------------------	------------------------------

ADDITIONAL EMPLOYMENT *(If applicable)*

Dates of Service	Title, Employer, Location
------------------	---------------------------

OTHER PROFESSIONAL APPOINTMENTS *(If applicable)*

Dates of Service	Description
------------------	-------------

HONORS & AWARDS *(Other than grants)*

PUBLICATIONS *(Provide complete citations for all; any standard citation format may be used but it should be used correctly and consistently)*

- *Indicate students and post-doc co-authors*
- *List different types of publications under separate headings, as follows*
- *Indicate % effort for co-authored publications, if appropriate/applicable*
- *Indicate senior authorship where appropriate*
- *An explanation of the order of authorship in the discipline can be included here or elsewhere in file.*
- *Work accepted but not yet in print can be included in this section*

Books *(Cite any reviews by others of your work)*

Refereed Articles

Unrefereed Articles

Book chapters

Encyclopedia Entries

Book Reviews

WORK IN PROGRESS *(Provide complete citations for all)*

- *Indicate whether work has/has not yet been submitted or is currently being revised.*
- *If under review, indicate where it is under review*

OTHER SCHOLARLY ACTIVITY *(Use these headings, or others as appropriate)*

Artistic exhibitions/Performances *(Indicate type, where date, audience, any reviews_*

Computer Software and/or Websites Developed

Consultancies

Patents

Editorial commentary, forewords, unpublished reports, monographs, etc.

GRANT FUNDING – *Indicate your role on the grant; if other than PI, state PI's name; include dates, full name of sponsor, funding amount (specify whether amount represents total or direct costs)*

- *Use the following subcategories as appropriate*

Federal

Foundations and Other External Sponsors

University at Albany (e.g., FRAP)

Proposals Not Funded (It's recommended to include unfunded proposals as evidence of appropriate attempts to secure funding)

PUBLISHED ABSTRACTS

CONFERENCE PRESENTATIONS (*Indicate if a paper or a poster was presented.*)

OTHER PRESENTATIONS (*e.g., lectures at other institutions*)

TEACHING

- *Use following subcategories as appropriate*

Courses offered and semester taught

Post-Doc/Ph.D./Master students supervised, graduation year (*clarify your role, e.g., committee chair, committee member*)

Undergraduate students supervised/mentored

Awards students received

SERVICE

- *List in separate categories, as applicable, as follows*
- *Note any leadership roles (chair, co-chair, etc.)*
- *Include years served*

Department Service

School/College Service

University Service

SUNY Service

Professional Service

Community Service

PROFESSIONAL AFFILIATIONS (*Other than grants*)

Memberships

Other

Sample C.V

CANDIDATE'S NAME

DEPARTMENT
OFFICE ADDRESS
CONTACT INFORMATION

CANDIDATE'S SIGNATURE
DATE

EDUCATION

2005-2006 **Postdoctoral Research Trainee**, topic, University of XXX.
Postdoctoral Mentor, Name, Ph.D.

2005 **Ph.D.** (discipline), University of XXX.

Dissertation: Title of dissertation. Doctoral Mentor (Name, degrees).

2000 **MA/MS**. University of XXX, Department of XXX.

Thesis (if applicable): Title of thesis. Thesis Mentor (Name, degrees).

1997 **B.A.** (Magna cum laude), University of XXX.

EDUCATIONAL EMPLOYMENT

2008 - present **Associate Professor**, Department, University at Albany School or
College, State University of New York.

2000 - 2007 **Assistant Professor**, Department, University at Albany School or
College, State University of New York. (Mention of any visiting
appointments or leaves such as Drescher awards if timing is longer than
'normal' tenure time).

ADDITIONAL EMPLOYMENT

1998 - 2000 **Research Project Director**, title or topic. Department XXX, University
of XXX Department. Funded by the National Science Foundation.
Principal Investigator, XXX, Ph.D.

1995 - 98 **Graduate Research Assistant**, Name of project or department or title, University of XXX. Funded by XXX. Principal Investigator, XXX, PhD.

1997 - 1998 **Project Coordinator**, name of organization, location.

OTHER PROFESSIONAL APPOINTMENTS

2008 - present **Faculty Associate/Affiliate**, Center for XXX, University at Albany, (Affiliate 2008-2011; Associate 2011-).

2005 - present **Affiliated Faculty**, department or center, School or College, University at Albany

HONORS AND AWARDS

Name. Parent Organization University, Fraternity, whatever). Date range. \$\$ amount if any.
Name. Parent Organization University, Fraternity, whatever). Date range. \$\$ amount if any.
Name. Parent Organization University, Fraternity, whatever). Date range. \$\$ amount if any.
Name. Parent Organization University, Fraternity, whatever). Date range. \$\$ amount if any.
Name. Parent Organization University, Fraternity, whatever). Date range. \$\$ amount if any.

PUBLICATIONS

Peer Reviewed Articles

Last name, initials. & last name, initials (Forthcoming). Title *Journal*.

Last name, initials. & last name, initials (Forthcoming). Title. *Journal, Vol #*.

Last name, initials. & last name, initials. (Date). Title. *Journal, Vol #, pp*.

Last name, initials. & last name, initials. (Date). Title. *Journal, Vol #, pp*.

Last name, initials. & *last name, initials. (Date). Title. *Journal, Vol #, pp*.

Last name, initials. (Date). Title. *Journal, Vol #, pp*.

* indicates student co-author

Manuscripts under Review in Peer Reviewed Journals

Last name, initials. (Date). Title. *Journal*.

Last name, initials. (Date). Title. *Journal*.

Work in Progress

Last name, initials. & last name, initials. Title.

Last name, initials. & last name, initials. Title.

Last name, initials. & last name, initials. Title.

OTHER SCHOLARLY ACTIVITY

Consultancies

Organization name, 2005. Brief 2 line description of what consulted on.

Consultant on a grant entitled “XXXXXX, funded by the National Institute of Health. Principal Investigator: Name. Date range.

Capital District Education Initiative, Schenectady County Department of XXX, 2002.
Contributed to survey instrument development

GRANT FUNDING

Federal

Role: Principal Investigator

Project: name of project

Source: NSF, NIH, other...

Time Period: 10/1/12-9/30/13

Total Funding: \$189,282

Role: Research Project Principal Investigator and Center Co-Investigator

Project: Name

Source: NSF, NIH, other...

Time Period: 10/01/11 – 9/30/13

Total Funding: \$199,245

Foundations

Role: Principal Investigator (name, Co-Investigator)

Project: Name

Source:

Time Period: 5/1/09 - 4/30/11

Total Funding: \$79,550

University at Albany

Role: Principal Investigator (name, Co-Investigator)
Project: Name
Source: Faculty Research Awards Program (FRAP)
Time Period: 5/1/08 - 4/30/10
Total Funding: \$10,000

Proposals not Funded

Role: Co-Principal Investigator (Name, Principal Investigator)
Project: Name
Source:
Time Period: 4/1/08-3/31/09
Total Funding: \$1,519,274 (approved but not funded)

Role: Principal Investigator (Name, Co-Investigator)
Project: Name
Source:
Time Period: 6/01/07 – 5/31/09
Total Funding: \$85,950

PUBLISHED ABSTRACTS AND PRESENTATIONS AT SCHOLARLY CONFERENCES

Last name, initials & Last name, Initials. Title. Paper presented at what meeting, where, when.
(Abstract published where).

Last name, initials & Last name, Initials. Title. Poster presented at what meeting, where, when.
(Abstract published where).

Last name, initials. Title. Presented at what meeting, where, when. (Abstract published where).

Last name, initials. Title. Presented at what meeting, where, when. (Abstract published where).

INVITED PRESENTATIONS

Last name, initials. Title. Presented at what meeting, where, when.

Last name, initials. Title. Presented at what meeting, where, when.

Last name, initials. Title. Presented at what meeting, where, when.

TEACHING

Graduate Courses Taught, University at Albany

Course ID and number – Course title (S07, F07, S08, F09, S10, F10).

Course ID and number – Course title (F06, F07, F08, S10).

Course ID and number – Course title (F08, F09).

Teaching Experience, University of XXX

Name of course (Instructor, date)

Name of course (Co-Instructor, date).

Name of course (Teaching Assistant, dates).

Doctoral Dissertation Committees

Student Name (in progress) *Title*. School or College. **Member**.

Student Name (year of graduation) *Title*. School or College. **Member**.

Student Name (year of graduation) *Title*. School or College. **Chair**.

Master's Thesis Projects, Field Placements and Internships

Student Name (year of graduation) *Title*. School or College. Internship. Your role.

Student Name (year of graduation) *Title*. School or College. M.S. Thesis. Chair.

Student Name (year of graduation) *Title*. School or College. M.S. Field placement mentor.

Undergraduate Students Mentored

Student Name (year of graduation) *Title*. School or College. Undergraduate internship mentor.

SERVICE

Department of XXX (in reverse chronological order)

Director, name of that, dates

Chair, Search Committee for XXX, 2012 - present

Member, Personnel Committee, 2011 - present

Chair, Student Recruitment Committee, 2007 - present

Member, Executive Committee, 2006 - present

Chair, Search Committee for XXX, 2009 - 2010

Chair, Admissions Committee, 2006 - 2007

School or College

Member, Diversity and Recruitment Committee, 2009- present

Chair, Search Committee for XXX, 2011 - 2012

Member, XXX Steering Committee, 2011 - present
Representative of University Senate to XXX, 2009 - 2012
Member, School of XXX Council, 2007
Member, Ad Hoc Accreditation Interim Report Committee, 2007

University at Albany, State University of New York

Member, Committee on Curriculum & Instruction, Graduate Academic Council, 2011 - present
Elected Representative, University Senate, 2009 - 2012
Member, Undergraduate Academic Council, 2000 - 2005
Chair, Committee on XXX, 2001 - 2002
Member, University Life Council, 1999 - 2000

Professional Service

Reviewer, *The Journal of XXX*, 2012 - present
Reviewer, *Journal name*, 2008 - present
Reviewer, *Journal Name*, 2006 - present
Abstract Reviewer, Society Name, 2010, 2011, 2012
Co-chair, paper session, Society Name Annual Meeting, 2008
Chair, poster session, Society Name Annual Meeting, 2007

Advisory Committees and Boards of Directors

Member, title of group, New York State Department of Education, date range
Advisory Board, Name of group, School or College, date range
Board of Directors, name of org, date range. Special duties

PROFESSIONAL AFFILIATIONS

Name of organization, date range.
Name of organization, date range.
Name of organization, date range.
Name of organization, date range.

Appendix I: Guidelines for the Selection of External Reviewers¹

In general, an external evaluator may not review a tenure/promotion case if one can reasonably perceive a potential for bias or a conflict of interest (i.e., the reviewer has an identifiable interest in whether the candidate is tenured or promoted). Such potentials for bias or conflicts of interest arise if the reviewer:

- is a current or former close collaborator (co-author or research partner), or former thesis student/advisor/post-doctoral advisor;
- is a current or former close informal mentor
- is a member of the candidate's immediate family, or is a business partner of the candidate;
- is currently employed by the same institution, or has an arrangement for future employment or is negotiating for employment at the same institution;
- has a financial interest in the outcome of the tenure or promotion case, or the reviewer's employer or the organization where the reviewer is an officer, director, trustee, or partner has such an interest.

A disqualifying conflict **may** exist if a candidate's case involves an institution or other entity with which the potential reviewer has a connection. Such potentially disqualifying connections include:

- a reviewer's recent former employer,
- an organization in which the reviewer is an active participant (this does not include professional organizations/societies in which both candidate and reviewer are active members, unless they have worked together in such a way as to indicate the potential for bias on the part of the reviewer)
- an institution at which the reviewer is currently enrolled as a student, or at which he/she serves as a visiting committee member, or
- an entity with which the reviewer has or seeks some other business or financial relationship (excluding the receipt of an honorarium for being a reviewer for said case).

However, the above cases do not **necessarily** qualify as conflicts of interest. Departmental committees and other bodies judging the tenure or promotion case should consider each reviewer in light of the following:

- Recognizing that academic and professional fields can be more or less small and restricted, and that it is in fact desirable that tenure and promotion candidates have

¹ Parts of this statement are adapted from the National Science Foundation's *Grant Proposal Guide*, "Appendix B-Potentially Disqualifying Conflicts of Interest" (http://www.nsf.gov/pubs/gpg/nsf04_23/appb.jsp) and the University at Albany's Office of Academic Affairs, "Administrative Procedures for the Preparation of Recommendations for Promotions and Continuing Appointment" (<http://www.albany.edu/academics/procedures.promotions.continuing.appointment.shtml>).

established some prominence and corresponding relationships in their fields, professional associations—such as having contributed to the same edited volume or journal special issue, or having presented papers on the same panel at a conference, for example—do not necessarily disqualify a reviewer, unless an identifiable potential for bias or conflict of interest can reasonably be assumed.

- Case reviewers should be from the same field as the candidate, but a diversity of reviewers is also necessary. In other words, reviewers should represent both peers who have no identifiable, close connection with the candidate, and peers who may have some connection, such as those outlined above. Tenure and promotion review committees should then weigh all letters together in considering carefully whether any evaluations are compromised by a potential conflict of interest.

The department (or school) nominating a candidate for tenure or promotion is responsible for evaluating the independence of each reviewer, i.e., why the reviewer is in a position to deliver an objective evaluation. Chairs' letters and committee reports at the department or school level should make these evaluations of reviewers' disinterestedness explicit.

Appendix J: Template for Describing Selection of External Reviewers

Procedures for Selecting External Reviewers

The following individuals were involved in the identification and selection of external reviewers:

Insert list of individuals or description of group here

Potential external reviewers were identified by insert description here of the process by which an initial list of potential consultants were identified.

These potential reviewers were contacted by insert details here as to how and by whom consultants were contacted.

(Insert number here) individuals were initially asked to serve as reviewers. (Insert number here) invited reviewers declined. Provide reasons for decline here, or if not known, specify that here.

(Insert number here) letters were ultimately received.

In addition, provide a brief explanation as to why these particular individuals are qualified to serve as external reviewers. This can be explained in a single overview paragraph, or with a specific explanation for each reviewer, as appropriate.

Appendix K: Template for Letter of Solicitation for External Reviewers

[departmental letterhead here]

[Name of external reviewer here]

[Address of external reviewer here]

[Date]

Dear Dr. [],

I am the *[department chair/chair of an ad-hoc committee]* in the Department of [XXX], at the University at Albany. We are currently preparing the file that will be used to consider and review Professor *[candidate's name]* for promotion from the rank of *[Assistant Professor to Associate Professor and for continuing appointment (tenure), or from the rank of Associate Professor to Full Professor]*. In this capacity, I have the responsibility for soliciting letters from outside reviewers who are qualified to assess Professor [XXX's] scholarship. *[Note: in relevant disciplines, replace 'scholarship' with 'creative activities'.]* Reviewers are requested to "comment on the candidate's record of achievement from the perspective of the quality standards and productivity norms of the candidate's academic discipline(s)."

To help inform your assessment, I have enclosed a copy of Professor [XXX'] curriculum vitae, a copy of *[his/her]* statement of major *[research/creative]* themes and future plans for *[research/creative activities]*, as well statements regarding teaching and service activities, copies of several published articles comprising a sample of Professor [XXX's] scholarship, and a copy of our departmental criteria for tenure and promotion. If there are other works from Professor [XXX's] scholarly *[creative]* contributions that would assist you in making your assessment, please let me know and I will provide you with a copy of those works. Please note, however, that the Committee is seeking an overall assessment of the candidate in relation to his/her field, and not just an evaluation of the particular works supplied to you. *[Note – this paragraph should be revised to accurately reflect the actual materials sent – i.e. a sample of works vs. all works by the candidate]*

In your evaluation of Professor [XXX's] scholarship, please comment as specifically as possible on the following matters:

1. The quality and quantity of Professor [XXX's] published and submitted work in comparison to other individuals at a similar career level in the candidate's discipline(s). *[Note: In cases of promotion to full, reviewers should be asked to evaluate the candidate's entire career with a particular focus on contributions since tenure.]*
2. The quality or standing of the publisher and/or of the journals *[venues]* in which the work has been published *[exhibited/performed]*.

Appendix K

3. Professor [XXX's] area or areas of specialization and the significance of [his/her] contributions to the field.
4. Professor [XXX's] reputation nationally and/or internationally and the impact of specific aspects of [his/her] work on others.
5. The nature of past personal interactions, if any, that you have had with Professor [XXX].

At the conclusion of your assessment, I must ask you to indicate one of the following options. This is a required feature of the employment agreement for faculty appointed to the State University of New York. You are invited simply to reproduce these items in your letter, and to indicate your choice accordingly:

- The candidate may read this evaluation as is.
- The candidate may read this evaluation if all identification as to its source is deleted.
- The candidate may not read the evaluation.

Your letter of assessment will be treated as confidential, and it will not be shared with the candidate except to the extent you so indicate in response to the above items. If you do not respond, we will assume you intend your letter of assessment to be kept confidential and not be made available to the candidate and his representatives.

In order for us to meet our deadlines, I would request that you submit your written letter of assessment to me at your earliest convenience, and not later than [*insert date here*].

May I also request that you include a copy of your own curriculum vitae with the letter of assessment that you send? This will assist us with our required task of describing the qualifications of the outside reviewers.

The members of the [*committee/department*], and the faculty and administration of the University at Albany are indebted to you for your willingness to serve as an external reviewer. As you well know, the recommendations and decisions to be made regarding Professor [XXX]' promotion are vitally important to all concerned. We deeply appreciate your participation in this process.

Sincerely,

Chair, Ad-Hoc Committee for the review of Professor [XXX]

Or Chair, Department of [XXX]

Appendix L: Template for Letter of Release for Unsolicited Letters of Evaluation

(Date)

Dear _____:

Thank you for your letter of (Date) concerning Professor _____ request for (promotion, continuing appointment).

However, you should know that your letter is not considered “confidential”, and is therefore available to the candidate, (his or her) colleagues and appropriate administrative officers as this request is considered.

If, for any reason, you do not wish to have this letter used under these circumstances, please let us know and we will shred the letter or return it to you, according to your preference. If you wish your letter to be included in the file, please sign this document on the bottom and return it as soon as possible. Your letter cannot be used until you have indicated your desire to have it used under these “non-confidential” circumstances.

Again, thank you for your letter and we look forward to hearing from you.

Sincerely,

(Title)

I approve the use of my letter of (Date) concerning Professor _____ under these “non-confidential” circumstances.

(Date)

(Signed)

Appendix M: Major Journals in Candidates Discipline Template

Major Journals in Discipline	Impact Factor* / Ranking / or other evidence of quality	# of articles candidate has published in journal
<i>Subcategorize by sub-discipline or other categories as appropriate for the candidate's research areas</i>		
<i>Journal name here</i>		
<i>Journal name here</i>		

Also include, if appropriate:

Other Journals Candidate has Published In	Impact Factor* / Ranking / or other evidence of quality	Other Relevant Information
<i>Journal name here</i>		
<i>Journal name here</i>		

* Impact factors are more relevant and appropriate to some fields and disciplines than others. Departments should use their judgment based on the norms in their discipline(s) to determine the best evidence of quality to provide. An explanation of the value of impact factors in the candidate's discipline(s) will help the CPCA understand these norms.

Appendix N: Citation Analysis Report Template

(to be used when citation analyses are appropriate to the candidate’s discipline)

In addition to this template, please see University libraries’ for tracking research influence and impact, and doing citation analyses here [<http://libguides.library.albany.edu/ptsupp>].

Databases used to create report:

h-index*:

Publication	Total citations to date	Total citations to date excluding self-citations
<i>Complete bibliographic citation for publication 1</i>		
<i>Complete bibliographic citation for publication 2</i>		
<i>Etc.</i>		
Totals	Column total	Column total

* Because the *h*-index may be more appropriate for some fields (e.g., the sciences) than for others, it is more suitable for within-discipline comparisons, as opposed to across-discipline comparisons. Departments may want to provide contextual information about the *h*-index for the candidate’s discipline(s) and/or use a different summary index that’s more relevant to that discipline.