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# Social Work: Appointment, Promotion, and Tenure Documentation

The College at Brockport

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**APT POLICY**  
**DEPARTMENT OF SOCIAL WORK**

**Revised**  
**April 2006**

## **INTRODUCTION**

This document is to be used to govern APT decisions by the Department of Social Work. It reflects the college-wide standards and policies. In addition to this document, all relevant requirements, process, time lines, and standards issued by the College will be used in making personnel decisions. This document also reflects the interpretation of such documents by the Department and an adaptation of such documents in a manner that interprets standards within the context of our profession.

Faculty applicants for promotion, reappointment, continuing appointment, sabbatical leave, or a discretionary salary increase should submit application materials that reflect a creative blending of teaching effectiveness, scholarship, and service. Each area of review should meet relevant standards of achievement. Expectations are that 'Teaching > Scholarship > Service where Teaching  $\geq$  50%'. A significant deficiency in achievement in any *single* area of review will be considered problematic to the approval of an application. In fact, each of these areas of responsibility is mutually dependent. Applicants who request any personnel review in the Department should demonstrate this integration of performance in all three areas.

All accomplishments must be documented when applying for a personnel matter in a way that those charged with evaluating performance may arrive at a decision based on fairness and the application of the standards described in this document. This documentation will be subject to a rigorous departmental review. The applicant's materials will also be subjected to an external review at the College after completing the departmental process.

The Department's expectations for faculty performance at rank are described in the "Promotion" section of this document.

## **TEACHING EFFECTIVENESS**

Teaching encompasses promoting, guiding, facilitating, and evaluating student learning. Faculty members are catalysts for creating and adapting learning environments in and outside the classroom that stimulate students to learn. Effectiveness teaching and learning are dependent on faculty utilizing a variety of teaching techniques and continually designing and revising curriculum to produce student learning outcomes. Integrating scholarship into teaching involves presenting knowledge in a meaningful way to students for their learning. Service to the community may incorporate both teaching and scholarship. Community-based teaching involves teaching, service, and scholarship in the form of service learning, community-based learning, and practice-based learning. Therefore, sustained service and scholarship are essential to quality teaching. Teaching may require involvement in the professional development process of attending workshops and conferences and other efforts necessary to maintain mastery of subject matter and teaching methodologies. Also included are the teaching related activities of independent study, field supervision, mentoring of students, and student involvement in research and/or social action as well as service activities which present knowledge to the larger community.

All faculty are expected to teach three classroom courses each semester, except when released from courses for other activities in scholarship and/or service which warrant such exceptions. Additional teaching of one course might be required from faculty whose scholarly and/or service activity is seen by the Department Chair as not commensurate with the Department's expectations, depending on the need of the Department.

## **SCHOLARSHIP**

Scholarly productivity traditionally has been the role of social work practitioners in developing knowledge that will benefit the delivery of direct and indirect service to their clients. The social work educator has played a unique role in producing, refining, interpreting, and communicating knowledge in a manner that present and future practitioners may improve effectiveness within the client's social context and in order to improve social functioning. Scholarship will display new knowledge, an innovative use of knowledge, and/or the use of knowledge in a meaningful and creative manner that may result in new insight. Service itself may be scholarship when it clearly produces new insight, perspectives and change. Community-engaged scholarship involves clear goals, preparation, appropriate methods, significant results, effective presentation, reflective critique, rigor, and peer review. Department is committed to the faculty's production of scholarship. Faculty must demonstrate continued successful scholarship to support recommendations for reappointment, continuing appointment, and promotion. Faculty who do not demonstrate an active program of scholarship should contribute more in the areas of teaching and/or services, mostly in the area of teaching. The Department recognizes and encourages faculty accomplishments within and among scholarship, teaching and service.

An active program of scholarship might include at least one publication, as defined below; one innovative accomplishment, as defined below; or other significant accomplishments. Activities or other works-in-progress might also be seen as sufficient to meet this expectation, depending on the effort perceived as necessary for this work and the quality of the potential outcome.

Definition of Scholarly Productivity:

Scholarship includes publications, presentations, innovative accomplishments, and other accomplishments which both contribute to the profession's body of knowledge and communicate such knowledge in an effective manner. Included in this definition of scholarship is the discovery, integration or application of knowledge.

Examples of scholarship include but are not limited to:

Publication – peer-reviewed publication of books, commissioned studies or reports, book chapters, journal articles, and monographs.

Presentations – peer-reviewed presentation of papers and workshops at professional conferences, meetings, and other forums in which such presentations reflect scholarly ability and accomplishment.

Innovative Accomplishments – social activism displaying a firm foundation in scholarship and requiring a unique use of knowledge, skill, and values; the development of new and creative educational or community service resources which clearly reflect scholarship; other efforts in academia or society that result in demonstrable social change and exhibit significant scholarship. These must include materials which clearly reflect the communication of these innovative accomplishments to the professional community. These accomplishments will be evaluated utilizing an external review process.

Other Accomplishments – grants received, significant and on-going research, etc.

Scholarship accepted for publication or presentation in an outlet using an anonymous review procedure (refereed journal article, book submitted for blind review by editor, etc) shall be considered to meet the evaluation criteria for scholarship. Other works such as community-engaged scholarship will be assessed using an internal and/or external peer-review process.

## **SERVICE**

Since the social work profession views service as a crucial foundation to its identity, the Department sees department, school, college, university, professional, and community-engaged service as something which both motivates our scholarship and contributes to effective teaching. There is the expectation that service apply scholarship in a manner that presents knowledge in a meaningful way and enriches teaching in an effort to reshape society. Faculty must demonstrate continued successful service to support recommendations for reappointment, continuing appointment, and promotion. The Department recognizes and encourages faculty accomplishments within and between the categories of service, teaching, and scholarship.

Definition of Service:

Service encompasses governance of the department, the school, the college, the university, or the profession, as well as social work practice-based or college mission oriented contributions to the community that are not included in scholarship.

1) Examples of governance include, but are not limited to:

Department – department meetings and committees, advisement, registration, Saturday Information Sessions and peer review. At minimum, serve as chair to at least one departmental committee.

School – grade appeals, Dean’s committees

College – Faculty Senate, College-wide committees, College-wide student organizations

University – University Faculty Senate, SUNY Ad Hoc Committees, UUP Activities

Profession – leadership and other service in professional organizations at local, state, national or international levels which benefit the profession and its mission.

Examples of community engaged service include but are not limited to: Community-engaged efforts are related to a faculty member's area of expertise or to the mission of the College. Community-engaged service involves participation in collaborative community partnerships and the application of institutional resources to address and solve challenges. These include but are not limited to involvement in community-based practice research, social activism, and grassroots community and professional organizations

Service contributions will be assessed based upon an internal review of the candidate's record and supportive documentation.

### **PERFORMANCE AT RANK**

Faculty performance will be measured according to the standards of their current rank. Faculty members must receive a positive recommendation in all three performance areas in order to be approved for any personnel application.

### **PROMOTION**

#### PROMOTION TO RANK OF ASSISTANT PROFESSOR - TEACHING

At this level, the faculty member is expected to provide documentation of teaching materials that addresses the multiple aspects of the instructor's role. This includes demonstration of knowledge of the social work profession; skills of pedagogy, including clear and precise communication and methods of instruction; and interest in the educational achievement of students.

Documentation must include course syllabi and materials. Reviewers of these materials will look for demonstration of the use of contemporary sources and good correlation of content method, student interest and need, and relationship to the academic standards of the institution.

Statement of Teaching Philosophy and Focus must also be included. This statement should address the candidate's educational values and goals. The statement should also include self-evaluation of successes in teaching, efforts to improve teaching generally or in a particular course, assessment and achievement of student learning outcomes, and general and specific course effectiveness. This section must also include:

- List courses taught, including contact hours and the number of students enrolled in each.
- Include other pertinent information directly related to teaching.
- Student Evaluation - is one aspect of teaching evaluation. Documentation must include Summary table of IAS ratings on the four core items for all courses taught during the period under review. Additionally, it will be expected to include one or more of the following:
  - Written comments and/or personal assessment of ratings on other items.
  - Instructor-developed feedback.
  - Department-solicited letters of support about teaching.

- Student Outcomes and Accomplishments - Are a reflection of one aspect of instructor's effectiveness. Documentation must include:
  - Table of grade distributions for each course/section including personal interpretation of distributions in light of teaching philosophy.
  - Student accomplishments, e.g., conference presentations, published papers, awards, student-faculty research projects, community/field involvement.
- Improvement of Teaching - An ongoing and individualized process for every teacher. Documentation should include one or more of the following:
  - Professional development as a teacher (workshops, conferences, etc.)
  - Efforts to remain current in the field
  - New application of technology to teaching
  - Revision of course instructional approach.
- Teaching-Related Activity Beyond the Classroom - should include one or more of the following:
  - Independent study
  - Mentoring of students
  - Student involvement in scholarship, publication, presentations, and/or community involvement (social activism) resulting from student-faculty collaboration
  - Service to student organization and/or advisory committees.
  - Incorporation of service learning into curriculum
- Peer Evaluation - must include review of a representative sample of instructional materials. The process may include one or more of the following:
  - Review of course syllabi, assignments, and examinations
  - Observation or videotape review
  - Appropriate integration of technology
  - Contributions to curriculum and course development or revision
  - Interviews of current students and/or alumni
  - Awards or recognition related to teaching.

#### PROMOTION TO RANK OF ASSOCIATE PROFESSOR - TEACHING

The candidate must demonstrate growth and continued teaching excellence. Teaching excellence must extend beyond that demonstrated at the rank of Assistant Professor. For this purpose, in addition to that required above, documentation must include evidence of achievement in all of the following areas, but are not limited to:

- providing active mentoring of a new faculty member
- revising courses to assure a continuous state of development and use of extensive and current resources
- providing team or course leadership

- participating successfully in the college-wide instructional programs
- providing whole-class student evaluations of teaching effectiveness in a variety of courses over a reasonable period of time since appointment or promotion to the rank of Assistant Professor
- confirming teaching excellence by, e.g., peer review of class or videotape
- demonstrating consistent, successful involvement with independent studies, research projects, and/or final major student work.

#### PROMOTION TO RANK OF PROFESSOR - TEACHING

The candidate must demonstrate growth and continued teaching excellence. Teaching excellence and commitment must extend beyond that demonstrated at the rank of Associate Professor. For this purpose, in addition to the above, the documentation must include or more additional items from the following areas but are not limited to:

- demonstrating that the courses taught are in a continuous state of development and provide students with extensive resources;
- confirming teaching excellence by colleagues who are directly familiar with the person's work;
- evidence of a major contribution to the department or college-wide instructional program; and/or
- external assessment or reviews of student and graduate accomplishments that have a direct link to the faculty member.

#### PROMOTION TO RANK OF ASSISTANT PROFESSOR - SERVICE

At the Assistant Professor level, the faculty member's expected role is that of active participant on departmental committees. Initial involvement in Department, School, College, University, community, and/or professional service begins at this level. The faculty member should serve on at least one departmental committee and effectively participate and/or take a leadership/administrative role in at least two other departmental, college, university, community or professional activities. Participation may be documented by several types of evaluation including, but not limited to: letters from chairs of committees, task forces, or boards of directors citing specific contributions; letters from colleagues citing the significance and scope of contributions; and letters from community organizations/agencies citing the faculty member's roles and contributions.

#### PROMOTION TO RANK OF ASSOCIATE PROFESSOR - SERVICE

The candidate must demonstrate excellence on a continuous basis in the area of service during the period of tenure as Assistant Professor. The level and impact of service should have expanded significantly in at least one arena, i.e., department, school, college, university, community or profession. Community-based service must have direct relevance to the candidate's area of disciplinary expertise.

The candidate should prepare a summary of service activities including specific responsibilities and leadership roles assumed. For promotion to Associate Professor, demonstration of service contributions must include one or more of the following:

- Administrative and/or leadership roles in departmental, School, College, University, community and/or professional committees
- Participation in service activities beyond the department.
- Community-engaged service

The *quality* of the candidate's participation and leadership may be documented through several types of evaluation, such as: peer review; letters from committee/organization chairs citing specific contributions to the work of the committee or organization; and/or substantive letters of recommendation from colleagues and/or community agencies that cite contributions and successful initiatives. The department APT Committee may also request that the candidate provide names of references so that the Committee may solicit evaluations of the significance and scope of the candidate's service contributions.

Further documentation of the candidate's *level* of service performance may include such materials as: description of the activity and the candidate's specific role in it; a quantitative summary of the time period of the activity (number of meetings, amount of time required for participation); copies of materials produced by the activity with specification of the applicant's role in their preparation; and documentation of outcomes that may have resulted from the candidate's performance.

#### PROMOTION TO THE RANK OF PROFESSOR - SERVICE

Applicants for promotion to the rank of Professor will be expected to perform at a level significantly greater than what is expected to achieve the rank of Associate Professor. Not only has the person consistently played a constructive role in departmental meetings, committees, academic advisement and college-wide faculty governance since the last promotion, he/she is now an acknowledged leader in the Department, the College and the profession. This may be demonstrated by providing the following evidence:

Increased complexity in administrative duties or leadership roles (i.e., the person has chaired a variety of committees both inside and outside the department);

The excellence of his/her contributions to the committees/organizations/agencies is testified to by colleagues and can be illustrated in tangible ways; and

The work/product of the committees is exemplary and significant to the profession, College, organization, or larger community.

#### PROMOTION TO THE RANK OF ASSISTANT PROFESSOR - SCHOLARSHIP

An Assistant Professor is expected to be an active and productive scholar. The expectation is that this scholarship results in products reflecting a dedication both to developing knowledge as well as communicating this knowledge in a manner that may result in improved academic or practice performance or social change. It is also expected that this scholarship must indicate the ability to produce future scholarship in a manner conducive to relevant evaluation.

The quality of publications and other scholarly products must be documented by evaluations from reviewers, peers, or others recognized as scholars in their profession or discipline. The expectation is that an Assistant professor will be able and willing to continue successfully to engage scholarly productivity. The expectation is the completion of at least one scholarly product, as defined above, each year during the faculty member's appointment prior to the application for promotion.

#### PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR - SCHOLARSHIP

The applicant must demonstrate excellent scholarly activity on a continuous basis during the period of appointment as an Assistant Professor. The scholarly activity must reflect both a depth and scope of productivity fitting with appointment to a senior faculty rank. The scholarly accomplishments must include publication in forums whose quality is recognized as significant by peers, reviewers, and other scholars in Social Work education and practice. Documentation of such recognition is required. These publications or other scholarly products should be of regional, national, or international importance. It is also required that the applicant's present or projected activities will result in continued significant scholarly accomplishments.

It is the Department's minimum expectation that for promotion to Associate Professor, the candidate should have 3 articles in published national or international juried professional journals, plus 5 other scholarly products. Please see Appendix A.

#### PROMOTION TO THE RANK OF PROFESSOR - SCHOLARSHIP

Applicants for promotion to the Rank of Professor will be expected to perform at a level significantly greater than that expected of an Associate Professor. This high-level of productivity must be sustained over a multi-year period of time. The applicant must demonstrate through products and documentation that a reputation as a leader in the profession and Social Work education has been achieved. This may be demonstrated by providing the following evidence:

- The submission for consideration of a significant number of publications which reflect excellent quality
- Presentations which were both invited and of a demonstrably high quality.

## **CONTRACT RENEWAL AND CONTINUING APPOINTMENT**

The policy and procedures adopted by the College will apply to faculty seeking a term contract renewal or a continuing appointment. The standards addressed for various academic ranks addressed elsewhere in this document will be applied for the purpose of recommending further contracts. In addition, applicants will be expected to include in their application materials a detailed description of how their further appointment will contribute to accomplishing both the mission of the Department and the College. Successful teaching, scholarship, and service throughout the faculty member's career with a likelihood this productivity will continue will serve as a basis for evaluation for a continuing appointment.

Faculty with qualified rank and/or a temporary appointment will be expected to perform in the same manner as tenure-track faculty as described in their appointment letters.

## **SABBATICAL LEAVE**

The policy and procedures adopted by the College will apply to faculty seeking a sabbatical leave.

## **DISCRETIONARY SALARY INCREASE**

Faculty are eligible for a DSI if their performance in all areas is at least appropriate for their rank and performance in one or more of these areas is exceptional, or if their performance in at least one area is extra-ordinary. DSIs will be considered for applicants nominated for performance in teaching, scholarship, or service based on an assessment of both the quality and quantity of their contributions. Faculty requesting consideration for a DSI should present appropriate evidence in each of the three areas, with an expectation that teaching effectiveness is documented to be in the very good to excellent range.

To be eligible for a DSI based on service, the applicant should document not only performance at rank but also a contribution to the Department, School, College, University, Profession, and community. Involvement in committees, task forces, boards of directors, or other service activities should be clearly connected to specific outcomes (not necessarily products) which could be documented by peers, students, or community members.

To be eligible for a DSI based on scholarship, the applicant should be able to document not only a performance at rank but also products and/or scholarly activities that demonstrate extraordinary effort and accomplishment in this area of performance. This area of accomplishment should be documented by evaluations or reviews by others.

To be eligible for a DSI based on teaching effectiveness, the applicant should be able to document not only performance at rank but also a level of teaching beyond that normally expected. This should be documented by both students' and colleagues' evaluations.

Professional staff members without academic rank will be expected to submit materials for a DSI consideration that reflect exemplary accomplishments in their area of job definition. These should be documented with relevant evaluations.

## Appendix A

<b>Scholarly products</b>
• Article in national/international journal
• Edited Book – related to discipline
• Book – related to discipline
• Monograph (disseminated research report)
• Authorship of a funded grant
• Article in a regional, state, or local journal
• Peer-reviewed chapter in a published book – related to discipline
• Peer-reviewed presentation/Performance at national, international, regional, state, or local professional meetings (credit for original presentation only)
• Peer-reviewed published presentation/performance (proceedings)
• Peer-reviewed publication of media or software materials such as audiotapes, videotapes, teaching, materials, etc., (published)

<b>Activities indicative of scholarly reputation/ not considered Scholarly Products</b>
• Editorial review of a textbook for a publishing company for subsequent edition
• Review: Book, software, media, published in a journal
• Editorial review of a manuscript for a publishing company (paid or unpaid)
• Editorial review of a journal article for an academic journal
• Consultation involving written exit report
• A professional recommendation to a governmental agency or general population newspaper on a subject of one's expertise
• Article – popular magazine
• Respondent, critic, or discussant on a panel: Involving documentation of the discussants critique of the papers presented on the panel
• Unfunded research grants
• Editor of local, state, or national newsletter
• Products of Community-engaged scholarship not otherwise accounted for above

## **GUIDELINES FOR FACULTY APPOINTMENT RENEWAL, TENURE (CONTINUING APPOINTMENT), PROMOTION, AND PERFORMANCE AT RANK**

SUNY College at Brockport uses the SUNY Board of Trustees' Policies to define the professional obligation for faculty. Traditionally, the College has considered three primary categories as the basis for review in all personnel actions:

- teaching effectiveness
- scholarship, research, and creative work
- college, community, and professional service.

The other two criteria, Mastery of Subject Matter and Continued Growth, are reflected by sustained contributions and demonstrated excellence in the above-noted three categories.

The Faculty Roles and Rewards Committee (December 1998) defined these elements of the faculty role as follows:

Teaching/learning: Encompasses promoting, guiding, facilitating, and evaluating student learning. Faculty members are catalysts for creating and adapting learning environments in and outside the classroom that stimulate students to learn, to be curious, to be critical thinkers, effective writers and speakers, and creative problem solvers. Effective teaching and learning are dependent upon faculty utilizing a variety of teaching techniques and designing and revising curriculum to produce student learning outcomes. Included within teaching/learning are the professional development processes of attending workshops and conferences and efforts necessary to maintain mastery of subject matter and teaching methodologies. Also included are the teaching-related activities of independent study and thesis supervision, field supervision, mentoring of students, and student involvement in research.

Scholarship/Creativity: *Encompasses producing an identifiable product subject to systematic internal and external evaluation by professional peers and resulting from:*

1. *The creation of new knowledge or artistic expression within the discipline (Discovery). Examples of identifiable products include but are not limited to: original research as reported in articles, books, and presentation of papers; performances; grant proposals; inventions and patents; software development.*
2. *The synthesizing of existing knowledge or creative work within one or more disciplines into new patterns and/or for new audiences (Integration). Examples of identifiable products include but are not limited to: publication of interpretive studies or criticism; critical reviews or editing of scholarly work; development of public policies or of interdisciplinary programs.*
3. *The utilization of discipline-based knowledge to solve problems (Application). Examples of identifiable products include but are not limited to: development and implementation of innovative clinical practice or public school programs; environmental impact analyses; consultant work in the public or private sector based on the faculty member's discipline-based knowledge and expertise.*

Service: Encompasses governance of the department, the school, the college, the university, or the profession, as well as discipline-based or college mission oriented contributions to the community that are not included in Scholarship. Examples of governance include but are not limited to:

**Department** – department meetings and committees, advisement, registration, Saturday Information Sessions, and peer review.

**School** – grade appeals, Deans' committees.

**College** – Faculty Senate, college-wide committees, college-wide student organizations.

**University** – University Faculty Senate, SUNY Ad Hoc Committees.

**Profession** – leadership and other service in discipline-based organizations at local, state, national, or international levels.

**Community** – work related to faculty member's area of professional expertise or to the mission of the college.

These three areas will be referred to hereafter as teaching, scholarship and service. It is understood, however, that teaching is teaching/learning and that scholarship is scholarship/creativity.

Since SUNY Brockport places value on all aspects of the professional obligation, each faculty member is expected to provide quality contributions in all three areas. The quantity of the expected contribution may vary, depending on institutional need in the primary categories. The Faculty Roles and Rewards Committee concluded:

*Yes, teaching is our most important function. In our role as college professors we strive to create high quality learning opportunities for our students. Excellence in teaching is our first and foremost responsibility. This excellence is demonstrated, among other ways, by the quality of instruction and student learning outcomes.*

*Sustained scholarship is essential to quality teaching. It adds to the body of knowledge within the discipline, keeps us current in our fields, exemplifies for our students the intellectual skills we want them to learn, and provides them with opportunities to participate in intellectual discovery as they prepare for the world of work and advanced studies.*

*Service within the department, the college, the university, the community, and the profession supports the advancement of learning and the enrichment of campus culture.*

*Through teaching, scholarship, and service, the faculty shape and achieve the goals of the college.*

*The normal [teaching] expectation [for faculty members] is a 3/3 course load or its equivalent for faculty demonstrating an active program of scholarship as defined by individual departments and/or with major or multiple service responsibilities. The Faculty Roles and Rewards Committee recognizes that variability among disciplines and teaching styles, as well as historic patterns, may lead individuals and departments to deviate from this norm. Nonetheless, we see it as the norm around which particular variation will occur.*

*Chairs should make individual work assignments within the department in accordance with procedures and principles adopted by the department and in such a way as to ensure that:*

1. *Each department meets the curricular and educational needs of its own students as well as those of other students who depend upon it as agreed upon by the Department, the Dean, and the Provost.*
2. *Each faculty member has sufficient time:*
  - a. *to teach well and to promote student learning*
  - b. *to complete scholarly undertakings*
  - c. *to meet service obligations*

*In addition,*

1. *Chairs should expect those faculty who do not demonstrate an active program of scholarship to contribute more in the areas of teaching and/or service.*
2. *The blend of teaching, scholarship and service may change from year to year and over a life-time career as long as departmental responsibilities are met on an annual basis.*
3. *Any release time beyond the normal 3/3 course load shall be reported to the VPAA and publicized annually.*
4. *An important consideration in granting faculty release time should be to ensure that the total departmental effort is not compromised and that other faculty within the department are not required to take on an unfair load. Accomplishing these goals may require that the Administration provide the department with sufficient resources for support staff and replacement faculty depending upon the nature of the release.*

## **Assessment of Faculty Performance**

The Faculty Roles and Rewards Committee recognized the essentiality of collegial review of faculty performance:

### **Annual Review**

*The Chair of a department is responsible for evaluating individual faculty members as part of the formal annual review and more frequently if circumstances require it.*

### **Term Renewal, Continuing Appointment, and Promotion**

*Thorough evaluation of teaching, scholarship, and service shall take place when making personnel decisions of term renewal, continuing appointment, and promotion.*

*Chairs and APT committees should work with their departments to develop formal procedures for evaluation of all aspects of each faculty member's performance in the areas of teaching, scholarship, and service. The extraordinary diversity of our programs precludes agreement on any single model, but within broad limits we recommend the following:*

*Teaching: In order to give teaching the stature it should have, its evaluation for term appointment, continuing appointment and promotion must be rigorous. It must involve*

*some form of student evaluation, peer review of a teaching portfolio and may include peer observation of classroom performances. The teaching portfolio may include the following: teaching philosophy; student learning outcomes; grading practices; assignments, requirements, and assessment methods; advisement, mentoring, independent study projects, and supervision of theses; accomplishments of present and past students when directly related to the educator's influence; quality and effectiveness of pedagogical strategies; development and use of instructional technology; innovation for the purpose of improved learning productivity; and evidence that the course content is current.*

*Scholarship: Each department should develop a system for evaluating the scholarship of its faculty members consistent with the principles outlined in this document.*

*Scholarship should be evaluated according to these six criteria, as described by Ernest Boyer in Glassick, C. E., Huber, M. T., Maeroff, G. I. (1997). Scholarship Assessed. Jossey-Bass Publishers, San Francisco, 22-36:*

1. *clarity of goals*
2. *adequacy of preparation*
3. *appropriateness of methods*
4. *significance of results*
5. *effectiveness of presentation*
6. *reflective critique where appropriate*

*Application of these six criteria will ensure uniform evaluation of scholarship across disciplines.*

*Service: Faculty members should play a service role commensurate with their rank and the changing needs of their various constituencies. Faculty will prepare a statement of all relevant service activities with a brief description of the individual's responsibilities, participation, and any product developed. Where service is community-based, such activity should have a direct relationship to the faculty member's disciplinary expertise or to the central mission of the college.*

*In those instances where service ranks as a major responsibility and is a key component in the evaluation and assessment of the individual faculty member's rewards, departments should develop a set of criteria for evaluating that service which is equally as rigorous as that used in evaluating teaching and scholarship.*

## **RENEWAL**

Faculty appointed at the rank of Instructor or Assistant Professor are generally reviewed at least two times between their date of appointment and their review for continuing appointment. At each review, candidates are evaluated on their performance in the period since the last review. Candidates should demonstrate sequential progress toward achievement of expectations for continuing appointment.

## **CONTINUING APPOINTMENT**

### **Definition**

SUNY Policy, Article XI, Title B, "Continuing Appointment" states:

A continuing appointment shall be an appointment to a position of academic rank which shall not be affected by changes in such rank and shall continue until resignation, retirement, or termination.

## **Eligibility**

**Continuing Appointment as Professor, Associate Professor, Librarian or Associate Librarian.** Few initial appointments at Brockport are at senior ranks. However, if an initial appointment is at the rank of Professor, Associate Professor, Librarian or Associate Librarian, continuing appointment must occur after the third consecutive year of service.

**Continuing Appointment as Assistant Professor, Instructor, Senior Assistant Librarian or Assistant Librarian.** Faculty members appointed at these ranks are eligible for consideration for continuing appointment when they have completed a total of seven years of service in a position of academic rank. At least three of these years must be in academic rank at Brockport.

**Prior Service credit.** At the time of appointment, a new appointee may request a maximum of three years of prior service credit for satisfactory full-time prior service in tenure-track positions at other accredited academic institutions of higher education. Waiver of all or part of this service credit will be granted upon written request by the employee to the chief administrative officer not later than six months after the date of initial appointment.

## **Criteria**

Each academic department has developed criteria to guide academic personnel decisions. These criteria have been reviewed and approved by the school deans, the Provost, and the President. These departmental APT documents are available in department and dean offices, in Drake Library, and on the college's web page.

Recommendations for continuing appointment for SUNY Brockport faculty are based primarily on an evaluation of 1) performance at Brockport in each category identified by the Board of Trustees and 2) on programmatic considerations. Past performance at other institutions is only a secondary consideration.

Candidates for continuing appointment should demonstrate potential for promotion to the next academic rank. A positive recommendation for continuing appointment reflects the expectations that the person has the potential for attaining the highest rank in the department and that the person's contribution to the program will be significant and necessary in the future.

Review for continuing appointment may also take Programmatic Considerations into account. Such considerations may include enrollment patterns, the need for the faculty position in degree or curricular offerings or requirements, and the addition, reduction or elimination of programs or courses.

## **PERFORMANCE AT RANK and PROMOTION**

### ***Performance at Rank***

SUNY Brockport values the individual and unique contributions of each faculty member in each of the three categories of the professional obligation. All faculty members are therefore expected to continue performance at rank once continuing appointment or a promotion is achieved. An individual faculty member's talents may affect the balance among the three categories.

SUNY Brockport policy assigns to the department chair the responsibility for balancing faculty workload among all three categories. The Annual Report reflects achievements during a given academic year. If the performance is not evenly distributed across the three major categories of the professional obligation, department chairs may realign assignments. The goal is to create equitable assignments within the unit; workload adjustment assures that teaching, scholarship, and service responsibilities are met.

### **Promotion**

Most new faculty at SUNY Brockport are appointed at the rank of Assistant Professor. In those cases where the doctoral dissertation is not complete, a faculty member may receive an initial appointment as Instructor or Visiting Assistant Professor. The former is a tenure-accruing rank; the latter is not. Appointment to Instructor or Assistant Professor generally depends on how near the candidate is to degree completion.

## Promotion to Rank of Assistant Professor

Achievement of the appropriate terminal degree, e.g., M.F.A., Ph.D., Ed.D., D.S.W., establishes a person as qualified in the discipline/profession. In addition, there is the expectation that the person has the potential for achieving excellence in the discipline/profession and for attaining the highest rank in the department.

### Teaching

*The candidate should provide a portfolio of teaching materials that addresses the multiple aspects of the instructional role. This includes demonstration of knowledge of the discipline/profession, skills of pedagogy, including clear and precise communication and methods of instruction, and interest in the educational achievements of students. Documentation should include course syllabi and materials. Reviewers of these materials will look for demonstration of the use of contemporary sources and good correlation of content, method, and student interest and need; and relationship to the academic standards of the institution. Asterisks (\*) mark required documentation; other information should be included if available.*

**A. Statement of Teaching Philosophy and Focus\*** should begin the section on teaching. This statement should address the candidate's educational values, ideals, and goals. The statement should also include self-evaluation of successes in teaching, efforts to improve teaching generally or in a particular course, assessment and achievement of student learning outcomes, and general and specific course effectiveness. This section should also:

- List courses taught including contact hours and the number of students enrolled in each \*
- Include other pertinent information directly related to teaching and advisement.

**B. Student Evaluation** is one aspect of teaching evaluation. The portfolio should include:

- Summary of student ratings of instruction for all courses taught during the period under review
- Written comments and/or personal assessment of ratings on other items
- Instructor-developed feedback
- Department-solicited letters of support or comment about teaching.

**C. Student Outcomes and Accomplishments** are a reflection of one aspect of instructor effectiveness. The portfolio should include:

- Table of grade distributions for each course/section including personal interpretation of distributions in light of teaching philosophy
- Student performance on standardized tests related to instructor's expertise
- Student entrance into graduate school
- Student employment rates in the field and success in the workplace
- Student accomplishments, e.g., conference presentations, published papers, awards, performances, exhibitions, student-faculty research projects.

**D. Improvement of Teaching** is an ongoing and individualized process for every teacher. Documentation should include:

- Professional development as a teacher (workshops, conferences, etc.) \*
- Efforts to remain current in the field
- New applications of technology to teaching

- Revision of course instructional approach.

**E. *Teaching-Related Activity Beyond the Classroom*** varies by discipline and individual faculty load. Documentation presented should include:

- Number of advisees (undergraduate, graduate) \*
- Evidence of advising quality (surveys, letters, etc.)
- Independent study and/or thesis supervision
- Mentoring of students
- Student involvement in scholarship, publication, and/or presentations resulting from student-faculty collaboration
- Service on student organization and/or advisory committees.

**F. *Peer Evaluation*** takes many forms but should include review of a representative sample of instructional materials. The process may include one or more of the following:

- Review of course syllabi, assignments, and examinations \*
- Observation or videotape review
- Appropriate integration of technology
- Contributions to curriculum and course development or revision
- Interviews of current students and/or alumni
- Awards or recognition related to teaching.

## Scholarship

In the area of scholarship, successful completion of a doctoral dissertation or project required for the terminal degree demonstrates competence. In addition, evidence of a commitment to continued scholarly or creative productivity is necessary. Each academic department has developed criteria for evaluation of scholarship and creative activity.

## Public, University, and Professional Service

Service has an important role in the academic community and is an expectation within the total professional obligation. *The candidate will prepare a statement of all relevant service activities with a brief description of the individual's responsibilities, participation, and any product developed.* Where service is community-based, such activity should have a direct relationship to the candidate's disciplinary expertise.

At the Assistant Professor level, the faculty member's expected role is that of active participant on departmental committees. Initial involvement in College, community, and/or regional professional service begins at this level. Evidence of participation may be provided through several types of evaluation including letters from committee chairs citing specific contributions to the work of the committee.

## Promotion to Rank of Associate Professor

A person promoted to the rank of Associate Professor has demonstrated achievement on a continuous basis in the rank of Assistant Professor in all three major performance areas: Effectiveness in Teaching, Scholarship, and Service. There must be evidence that the person has made sustained high quality contributions to the Department and the College as an Assistant Professor. The faculty member has established a commendable reputation beyond the campus for scholarly work in the field. In addition, there is the expectation that the person has made discernible progress toward achieving excellence in the discipline/profession and for attaining the highest rank in the department.

### Teaching

*The candidate should present a teaching portfolio that demonstrates growth and continued teaching excellence. Information marked with an asterisk (\*) in the section on Assistant Professor should be included for the period since continuing appointment or the last review period, whichever is more recent.* For promotion to the rank of Associate Professor, teaching excellence and commitment should extend beyond that demonstrated at the rank of Assistant Professor. For this purpose, the teaching portfolio should include evidence of achievement in two or more of the following areas:

- providing active mentoring of a new faculty member through a delineated program of activities
- revising courses to assure a continuous state of development and use of extensive and current resources
- undertaking new course assignments successfully. ( e.g., providing team or course leadership, by designing, developing and successfully teaching new courses not previously part of a department's offerings and/or by participating successfully in college-wide instructional programs
- providing whole-class student evaluations of teaching effectiveness in a variety of courses over a reasonable period of time since appointment or promotion to the rank of Assistant Professor
- confirming teaching excellence by departmental colleagues, e.g., peer review of class or videotape
- demonstrating consistent, successful involvement with independent studies, research projects, final major student works, and/or theses.

### Scholarship

Scholarship is broadly defined to include discovery, integration, and application and may include any or all of the following products: book (authored or edited including textbooks); journal articles; artistic performance, choreography, exhibition, or design; book chapter; conference presentation; panel discussant involving a critique; and published media or software materials. Grant development may be considered as scholarship if it relates directly to research activity and/or results in a product.

For promotion, the person must show significant advancement in the area of scholarship beyond the level of Assistant Professor and beyond the presentation of doctoral dissertation results to new areas of investigation. The demonstration of scholarship must include a product/performance that is subject to external peer review and contributes to the body of knowledge in the field. Each academic department has developed criteria for evaluation of scholarship and creative activity.

*The candidate will prepare a Scholarship Focus and Summary. This statement will include the following components: a) an overview of the area of scholarship; b) a list of each scholarly product with a brief description of the peer review process and reputation of each product/piece; and c) a brief reflective critique.*

## **Public, University, and Professional Service**

The candidate should demonstrate excellence on a continuous basis in the area of service during the period of tenure as Assistant Professor. The level and impact of service should have expanded significantly in at least one arena, i.e., campus, community, or profession. As noted earlier, community-based service must have direct relevance to the candidate's area of disciplinary expertise. *The candidate should prepare a summary of service activities including specific responsibilities and leadership roles assumed.* For promotion to Associate Professor, demonstration of service contributions should include one or more of the following:

- administrative and/or leadership roles on departmental, College, community, and/or professional committees
- participation in service activities beyond the department (some faculty may become focused in one area of service outside the department, e.g., professional association leadership, while others may participate at many levels)
- evidence of participation and leadership may be provided through several types of evaluation, i.e.,
- peer review
- letters from committee chairs citing specific contributions to the work of the committee
- substantive letters of recommendation from colleagues and/or community agencies that cite contributions and successful initiatives
- active leadership in disciplinary professional organizations.

## Promotion to Rank of Professor

A person promoted to the rank of Professor has demonstrated professional growth and excellence on a continuous basis in the rank of Associate Professor in all three performance areas: Effectiveness in Teaching, Scholarship, and University Service. The evidence must clearly support the person's role as an established leader in the department and in the College and that his/her contributions are of high quality and have been sustained over a reasonable period of time as an Associate Professor. The faculty member now holds a national, and possibly international, reputation for scholarship in the field. All the following criteria should be met to warrant favorable consideration for promotion to the rank of Professor.

### Teaching

*The candidate should present a teaching portfolio that demonstrates growth and continued teaching excellence. Information marked with an asterisk (\*) in the section on Assistant Professor should be included for the period since continuing appointment or the last review period, whichever is more recent.* For promotion to the rank of Professor, teaching excellence and commitment should extend beyond that demonstrated at the rank of Associate Professor. For this purpose, the teaching portfolio should include two or more additional items from the following:

- demonstrating that the courses taught are in a continuous state of development and provide students with extensive resources;
- undertaking successfully new course assignments and by designing, developing, and successfully teaching new courses not previously part of curricular offerings;
- providing whole class evaluations in a variety of courses since promotion to the rank of Associate Professor;
- confirming teaching excellence by departmental colleagues who are directly familiar with the person's work;
- evidence of a major contribution to the department or college-wide instructional program; and
- external assessment or reviews of student and graduate accomplishments or creative works that have a direct link to the faculty member.

### Scholarship

Accomplishment in this area should be significantly greater than was expected to achieve the rank of Associate Professor. There should be evidence of new and more sophisticated levels of achievement. Successful scholarship has led by now to publication or creative work that has been subject to further review. Furthermore, the significance of the person's accomplishment is attested to by peers and reputable figures in the field away from campus:

- Recognition of the quality of the work (publications, work of art, or performance record) should be made evident and available in the form of reviews, comments and citations in the works of others, direct letters of assessment by recognized authorities off-campus solicited by the department, and invitations from leaders in the field to contribute to publications, conferences, and exhibitions, to serve on editorial boards, to review books, to choreograph, perform, etc.
- Reputation of the place--journal, gallery, theatre--in which the articles, research projects, poems, short stories, works, etc. have appeared will be an important consideration, as will the publishers or sponsors.

- Honors or awards that serve to recognize the person's contributions for long term work in the field and/or new interpretations and applications of scholarship.

Each academic department has developed criteria for evaluation of scholarship and creative activity. Where a person has a 12 hour teaching load (or equivalent) more than one time during a review period, the expectation for annual productivity in this area may be adjusted accordingly. The department chairperson will establish such an adjustment in consultation with the faculty member and with the concurrence of the appropriate dean.

### **Public, University, and Professional Service**

Accomplishment in this area should be significantly greater than was expected to achieve the rank of Associate Professor. Not only has the person consistently played a constructive role in departmental meetings, committees, academic advisement and college-wide faculty governance since the last promotion, he or she is now an acknowledged leader in the Department, the College, and the profession. This may be demonstrated by providing the following evidence:

- increased complexity in administrative duties; (for example, the person has chaired a variety of committees both inside and outside the department);
- the excellence of his or her contributions to the committees is testified to by colleagues and can be illustrated in tangible ways; and
- the work/product of the committees is exemplary and significant to the College or organization.

## **PROMOTION TO THE RANKS OF DISTINGUISHED PROFESSOR**

Promotion to the highest ranks – Distinguished Teaching Professor, Distinguished Service Professor, and Distinguished Professor – is governed by the Policies of the SUNY Board of Trustees. These awards are a rank above full professor and only one award in each category - Distinguished Teaching and Distinguished Service Professorship can be given by our campus each year.

Guidelines are available for each of these programs and successful nomination packages from previous years can also be reviewed, contact the Director of Grants Development at 395-5118. A campus committee is convened each January to review nominations for each award. Nomination packages must have the approval of the departmental APT Committee and Chair and Dean prior to being sent to the review committee. Packages are due to Academic Affairs by January 17, 2006.

## **GUIDELINES FOR SUBMITTING MATERIALS FOR CONTINUING APPOINTMENTS, RENEWALS, AND PROMOTIONS**

Please follow these guidelines when submitting Continuing, Renewal and Promotion appointments to the Provost. Please provide this information to all parties involved in the review process.

1. The entire dossier should be sent as a unit. The substantiating material should be placed in a notebook or paper file box and clearly labeled on spine of notebook or end of box.
2. A separate manila folder (labeled with the applicant's name, department, and type of personnel action) should contain the following information:
  - a. appointment form;
  - b. faculty member's statement regarding performance in teaching, scholarship, service and continuing professional development;
  - c. current vita;
  - d. APT Committee's letter of recommendation;
  - e. Department Chair's letter of recommendation
  - f. Dean's letter of recommendation  
The dean's letter should include: initial appointment date of faculty member, number of years faculty member has held current rank, and tenure date (existing or projected).
3. A well-marked separate folder should be used for any confidential letters.