



POLICIES AND GUIDELINES
FOR
REAPPOINTMENT, TENURE, AND PROMOTION

OFFICE OF THE PROVOST

*

OFFICE OF THE EXECUTIVE COUNSEL TO THE PRESIDENT

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DISCLAIMER

This document is intended to provide information and clarification on practices and procedures concerning certain personnel matters, in order to assist deans, department chairpersons, secretaries, and support staff. It does not supersede City University of New York Bylaws, University and College policies, the PSC/CUNY collective bargaining agreement, or applicable law. Nor does this document grant rights or entitlements in any manner not provided by the above-cited documents.

**POLICIES AND GUIDELINES
FOR
REAPPOINTMENT, TENURE, AND PROMOTION**

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in the City University of New York**

POLICIES AND GUIDELINES FOR REAPPOINTMENT, TENURE AND PROMOTION

The guidelines for reappointment, tenure and promotion are set by the “Statement of the Board of Higher Education¹ on Academic Personnel Practice in the City University of New York” (adopted September 22, 1975), which is appended to this document. Note that the tenure clock was five years when this policy was adopted; as part of the 2002-2007 PSC-CUNY contract settlement, the untenured period for professorial titles increased to seven years.

¹ The Board of Higher Education was the predecessor to the Board of Trustees of the City University of New York.

CITY COLLEGE REQUIREMENTS
FOR THE PREPARATION OF THE CURRICULUM VITAE

Consideration for tenure or Certificate of Continuous Employment (“CCE”) is provided for in the Board Bylaws. Therefore, there is no first screening for these actions. However, consideration for promotion requires a first and second screening. The recommendation of reappointment with early tenure is a special action and involves additional steps, including a first and second screening at the department level and subsequent review by the University, if recommended by the President.

An abbreviated vitae may be used for first screenings. However, a signed, completed vitae (minus the Chair’s Report) shall be available at the time of the second screening, and no additional materials may be submitted for consideration by subsequent reviewing bodies following the second screening, including letters of evaluation received after the vote has been taken. Should new information be deemed important or useful, all material may be returned to the initial reviewing bodies for reconsideration.

Candidates² may submit up to six (6) referees. In addition, a Department list developed by an Advisory Panel may propose at least six (6) referees. All referees, those proposed by the candidate as well as those proposed by the Advisory Panel, shall be solicited in writing for an evaluation. Vitae should not be considered until a minimum of six (6) solicited evaluations (at least three from the candidate’s list and three from the Advisory Panel’s [Department’s] list) have been received. Therefore, a reasonable amount of time (three to four weeks) should be allotted between the date of request and the scheduling of the second screening.

For all personnel actions, the Chair's Report, the Evaluators (identified as either "Candidate's List" or "Department's List," or both), and the Student Evaluations must appear on separate pages in the CV. Persons serving on the Candidate's Advisory Panel must be identified on the page listing his/her referees. In addition, if a candidate is being considered for tenure *and* promotion, and the same referee is named, the chair should prepare a separate letter for each action, as respondents frequently speak to only one issue; only one copy of the CV need be included.

Positive recommendations (and appeals) forwarded to the divisional P&B and Review Committee for consideration must be accompanied by the information and materials described herein. Curricula vitae that are forwarded to the divisional P&B and Review Committee, as well as positive recommendations (and appeals) that are not in compliance with the requirements stated herein, shall be returned to the Academic Dean or Department Chairperson and will not be presented to the Review Committee for action.

Should you have any questions concerning the matters covered herein, please call the Office of the Provost at extension 6850, or the Office of the Executive Counsel to the President at extension 8276.

² No external letters of evaluation are required for Lecturers or College Laboratory Technician.

GUIDELINES FOR PREPARING THE CURRICULUM VITAE (TO BE USED FOR PROMOTION, TENURE, AND CCE)

For more information on the electronic presentation of tenure, CCE and promotion dossiers, see the “CCNY Review Committee Formatting Guidelines for Tenure/CCE/Promotion Dossiers” which can be found on the Academic Affairs web site.

I. GENERAL CONSIDERATIONS

A. CITY COLLEGE REQUIREMENTS -- The items listed below must be submitted for use by the College. It is understood that not all of items 2-7 below will pertain to everyone.

1. The cover sheet – including the date of preparation and/or revision and signature indicating final review of the document.
2. Current research and creative activities (last seven years or, for candidates who already have tenure, since the last promotion).
 - a. Only articles and books that have been published or accepted for publication should be grouped as follows:
 - (1) Books: co-authors (if any), indication of the candidate’s role or percentage contribution, title, publisher and date. If a book is under consideration or under contract with a publisher, relevant supporting documentation must be supplied.
 - (2) Refereed articles: co-authors, title, journal title, volume, page numbers and date, with role or percentage of effort as for books.
 - (3) Book chapters: book title, editor(s), publisher, date and page number(s) of chapter. If co-authored, role should be indicated. The nature of the book should be specified (e.g., part of a series in which editors invite contributions, a symposium proceeding, etc.).
 - (4) Book reviews or articles that assess others’ work.
 - (5) Invited presentations, listing the institution or organization and, if appropriate, symposium or meeting title.
 - (6) Other articles or contributed presentations.
 - (7) Research grants and contracts, with the candidate’s role and percentage of contribution, sponsoring organization, grant or contract title, and amount of award and period.

- (8) Review panels, editorial panels and/or agencies, journals or presses for whom the candidate is a reviewer.

Creative works should include:

- (1) Description of works to be evaluated by external reviewers, if appropriate.
- (2) Venues of public displays or performances, including the nature of the venue (e.g., invited, juried, selected competitively, as appropriate, with a description of procedures for selection), sponsoring organizations and/or other relevant information that will provide perspective on the relative stature of the venue.
- (3) Critical reviews, with authors, publication titles and dates.
- (4) Articles or feature write-ups referring to the work, with authors, publication titles and dates.
- (5) Grants and contracts, with role and/or percentage of contribution, sponsoring organization, grant or contract title, amount of award and period.

3. A section describing instructional activities as follows:

For all faculty:

- (1) student evaluations and peer observations, every semester for which they are available;
- (2) when appropriate, description of innovative instructional activities, assessment of instruction and student learning, and dissemination (included in Appendix I);
- (3) annual lists of mentees and descriptions of mentored projects and student advising activities, including graduate students, as appropriate.

4. A section on service to the College, profession, or discipline and/or community.

a. College, University, and professional service, which should include:

- (1) roles such as department chair, faculty governance officer, task force participant, and departmental, College, or University committees;
- (2) activities outside the College or University on accrediting or licensing boards, professional bodies concerned with education, or contributions to the public arena that benefit directly from professional expertise; and
- (3) description of improvements to or accomplishments of the unit, committee, or other group that derive from the candidate's personal activity.

- b. College service should be differentiated by origin of the committee or other activity (e.g., college-wide, school, departmental, etc.). Chair positions should be indicated, as well as significant reports generated. If the activity was supported through released time, it should be noted.
 - c. Only those community activities that relate to the professional standing of the candidate should be included.
5. Professional practice and professional service, which should include:
- a. description of applications of faculty member's expertise to the solution of technical, economic, educational, or other societal needs and issues;
 - b. venues in which these applications have been disseminated, including the nature of the audiences reached;
 - c. documented evidence of impact of the work in terms of changes in professional practice or improved implementation of procedures or processes in the delivery of the profession's services; and/or
 - d. leadership roles within the profession and documented impact of these activities.
6. Scholarly work and service performed since the most recent positive personnel action should be clearly identified. This may be most easily accomplished by noting with an asterisk (*) those items which may be in Sections I.A.6, I.B.3, and/or I.B.4, if the most recent positive action was more than seven (7) years ago.
7. A summary of the information in sections I.A.2-6 for the previous seven (7) years or, for candidates with tenure, since the last promotion. This section should be arranged in the same order as in the curriculum vitae.

II. CHAIR'S REPORT

- A.** The Chair's Report should thoroughly address all aspects of the qualifications of the candidate. The Chairperson should comment on such things as:
- 1. ability to contribute to the department's curricular offerings;
 - 2. teaching effectiveness;
 - 3. student evaluations;
 - 4. value of service to the Department and/or College as a whole;

5. value of service to the discipline;
6. status of journals in which publications appear;
7. background and qualifications of evaluators;
8. candidate's impact on the discipline;
9. effects of collaboration with other faculty; and
10. any other issues which the Chairperson believes will illuminate the candidate for the various personnel bodies.

B. The Chair's Report must be dated and signed.

C. The Chair's Report should be written after the Executive Committee's/Promotion Committee's vote and before presentation to the P&B Committee.

III. WAIVER AND EQUIVALENCY

A. If the Board Bylaws degree requirements were not met at the time of the initial appointment, the waiver or equivalency status of all candidates must be stated.

B. If a waiver or equivalency was needed, include a copy of the letter from the Central Office approving the College's request.

IV. STUDENT EVALUATIONS

A. All available evaluation scores for the candidate should be included for both promotion and tenure candidates. If such scores are not available, an explanation should be provided.

B. In the Chair's Report, the Chairperson may comment on the relationship of the candidate's scores to the overall departmental average on common courses in assessing the candidate's teaching effectiveness.

V. LETTERS OF EVALUATION

A. Identification of Referees and Creation of Advisory Panels

1. For each candidate, the Chairperson shall request that he/she submit the following:
 - (a) a list of up to six (6) names of proposed referees;
 - (b) a list of names of persons the candidate prefers not be asked to act as referees (this list shall be included in the Chairperson's Report); and
 - (c) the names of up to three (3) faculty members of higher rank as candidates for his or her Advisory Panel. At the candidate's request, the divisional or school dean, in consultation with the candidate (and with the Faculty Ombudsman, should the candidate so request), shall select faculty from outside his/her department as candidates for the Advisory Panel.

Neither the names of the referees proposed by the candidate nor the names he/she requested not be asked to serve as referees shall be made known to the Advisory Panel members.
2. The Executive Committee of the department shall appoint an Advisory Panel for each candidate. The Panel shall consist of three (3) faculty members, at least one of whom is chosen from the candidate's list (see Section V.A.1.(c) above). Each Advisory Panel shall prepare a list of up to six (6) names of proposed referees. This list should normally not include individuals with a prolonged history of close involvement with the candidate, e.g., thesis or post-doctoral mentors, research collaborators, co-authors, etc. The names of the referees proposed by Advisory Panel shall not be made known to the candidate.
3. The Chairperson shall solicit letters of evaluation from the *total* lists provided by the candidate *and* the Advisory Panel. If the Chairperson, in consultation with the Panel, determines that the list will not provide an adequate evaluation, additional names may be added by the Advisory Panel. The Chairperson may make such a request if he/she notes considerable overlap between the two lists or if there are not at least four (4) names appearing only on the Panel's list. There should be at least two (2) different referees on each list to generate a minimum of nine (9) possible referees, some of whom may not respond.
4. When all the obtainable responses from the referees have been received, the Chairperson shall make them available to the Advisory Panel, and will consult with them as to whether or not an adequate evaluation has been obtained. Should it be determined that an adequate evaluation has not been obtained, additional letters may be solicited in accordance with Section V.A.3 above. There must be a minimum of six (6) respondents, at least three (3) of whom appear only on the Panel's list.

B. Letters of Solicitation (See sample letters included herein, at pages 16-19.)

1. The letter of solicitation is to request an evaluation, not a letter of reference or recommendation.
2. Certain minimum materials should be included with the solicitation letter, including the candidate's curriculum vitae and, where appropriate, copies of his/her work.
3. The letter of solicitation should state clearly the action or actions for which the candidate is being reviewed - i.e., tenure and promotion, early tenure, or promotion. For recommendations regarding tenure, the letter should request an evaluation of the potential for continued growth and performance, as well as for an appraisal of the quality of the candidate's work to date.

For recommendations regarding early tenure, the letter should request an evaluation of the candidate's scholarship or standing in his/her field on a national or international level, or his/her performance at a previous institution at which tenure was awarded, as well as comments regarding the potential for future contributions in his/her field of study.

For recommendations regarding promotion, the letter should ask if the candidate is now, or shortly will be, performing at the teaching, research, scholarship, or administrative level appropriate to the rank for which he/she is being considered.

4. Letters of solicitation should avoid statements that might prejudice the evaluator, either for or against the candidate. Letters should be standard for all candidates, with allowances for the specific information sought from the evaluator.
5. As letters of solicitation are received, each should be labeled "Candidate's List," "Advisory Panel's List," or both.

C. General

1. Evaluators should be external to the College, except in cases such as where the candidate's college-wide service has been of an extraordinary nature, and other situations as appropriate. In such cases, letters of solicitation should be particularly specific. In those personnel considerations in which the record of the candidate includes teaching, service, or administrative responsibility outside the home department, letters should be solicited to provide an appraisal of this performance from the extra-departmental discipline or unit.
2. Only those letters of evaluation formally solicited under the guidelines described herein shall be included in the curriculum vitae. Unsolicited letters and other appropriate materials may be placed before the Review Committee (as is currently

done with books or other publications) by the presenting Dean. *No material shall be presented as part of a candidate's personal file that he/she has not seen.*

3. Letters of evaluation more than two (2) years old (whether updated or not) may not be included in the CV. The age of letters of evaluation is determined by the number of promotional cycles that have elapsed since the receipt of the letters.
4. Copies of all responses to solicitations must be included in the Vitae. Each shall be clearly marked or referenced as to its list of origin, i.e., "Candidate," or "Department" (Panel).
5. In cases of evaluators who are not faculty members at a college or university and who are likely not to be known to faculty in general, a short (one or two page) resume of the evaluator should accompany the letter of evaluation.
6. Annual Evaluation Reports (or appropriate similar forms) should be appended to the curriculum vitae of non-teaching instructional staff, including those in the Librarian and College Laboratory Technician (CLT) titles.

VI. PROCESS

- A.** The candidate should assist in the preparation of the CV by providing to the Department Chairperson all necessary information relevant to the his/her activities (e.g., publications, reviews, scholarly activity, etc.).
- B.** The Chairperson shall be responsible for preparing the CV.
- C.** The candidate shall review the CV prior to its being sent to referees, which precedes the second screening in the case of recommendations for early tenure or promotion. However, where an official CV is used for the first screening, the candidate shall review it first. The candidate's review does not include the confidential materials (e.g., Chair's Report, names of referees solicited), which are also withheld from the referees.
- D.** It is the candidate's responsibility to insure that all data and non-confidential information in the CV are correct, up-to-date, and present a fair picture of his/her background and qualifications. Therefore, the candidate will indicate, in Part II of the cover sheet, that the CV has his/her approval or will provide corrections and additions. Then the candidate will sign and date Part II.
- E.** Part III of the cover sheet is confidential; *it is not to be shown to the candidate*. It will be completed by the Chairperson and/or Dean after the candidate has signed Part II. The entries of Part III will list all departmental actions.

SAMPLE LETTER OF SOLICITATION for
TENURE AND PROMOTION

Date

Addressee

Dear ____:

Assistant Professor ____ Jane/John Doe is being considered for tenure and promotion at The City College of the City University of New York.

Within The City University of New York, as at most institutions, the award of tenure and promotion involves a number of considerations, including scholarly achievements and activities, teaching performance, and service to the College, community, and profession. I would welcome your comments concerning Professor ____'s scholarship and published works, particularly in the area of ____, as well as any comments you have concerning his/her potential for future contributions in his/her field of study. Your comments on whether _____ would be likely to be awarded tenure and promoted at your institution would also be helpful.

I have included copies of his/her curriculum vitae and most recent publications.

Your response will be shown only to appropriate tenure review bodies and will not be seen by the candidate. Please provide your response by September 1.

Thank you for your assistance.

Sincerely,

Chairperson

Enclosures

SAMPLE LETTER OF SOLICITATION for EARLY TENURE

Date

Addressee

Dear _____:

(Assistant-, Associate-, Professor) John/Jane Doe is being considered for early tenure at The City College of The City University of New York.

Within The City University of New York, as at most institutions, the award of tenure involves a number of considerations, including scholarly achievements and activities, teaching performance, and service to the college, community, and profession. In The City University, early tenure may be awarded to a faculty member who, although he/she has not yet fulfilled the seven years of continuous full-time service ordinarily required by State law and the Bylaws of the University, *is deemed to be of exceptional value to the College*. In Professor _____'s case, early tenure may be warranted because of

- A. his/her outstanding scholarship, excellence in teaching, etc.; or,
- B. his/her service equal to the requisite number of years, although interrupted by a fellowship leave/scholar incentive award/special level of absence during which the scholarly activity he/she undertook brought honor and recognition to the college; or
- C. he/she held tenure at another accredited institution (give name) and has proven himself/herself to be worthy of the award at this time.

I would welcome your comments concerning Professor Doe's scholarship and published works, particularly in the area of_____, as well as any comments you have concerning his/her potential for future contributions in his/her field of study. Your comments on whether _____ would be likely to be awarded tenure and promoted at your institution would also be helpful.

I have included copies of his/her curriculum vitae and most recent publications.

Your response will be shown only to appropriate tenure review bodies and will not be seen by the candidate. Please provide your response by_____.

Thank you for your assistance.

Sincerely yours,

Chairperson
Enclosures

SAMPLE LETTER OF SOLICITATION FOR PROMOTION

Date

Addressee

Dear _____:

(Assistant Professor or Associate Professor) John/Jane Doe is being considered for promotion to the rank of _____ in the Department of _____ at The City College of The City University of New York.

Within The City University of New York, as at most institutions, the review for promotion involves a number of considerations, including scholarly achievements and activities, teaching performance, and service to the College, community, and profession. I would welcome your comments concerning Professor Doe's scholarship and published works, particularly in the area of _____, as well as any comments you have concerning his qualifications for the rank of _____.

I have included copies of his/her curriculum vitae and most recent publications.

Thank you for your assistance. Your response will be shown only to appropriate promotion review bodies and will not be seen by the candidate.

Sincerely yours,

Chairperson

Enclosures

TENURE, CCE AND PROMOTION PACKAGE CITY COLLEGE
COVER SHEET

PART I.

Name of Candidate _____ Current Rank _____

Being Recommended for _____

Date of CV _____ Date of Receipt of Doctorate _____

1st Appt _____ Promotion to Current Rank _____

Tenure/CCE _____

The materials in this document have been assembled under my direction and are complete to my knowledge as of the date:

Department _____

Department Chairperson Name _____

(Typed) _____

(Signature) _____

PART II.

I have read the City College Requirements for the Preparation of Curriculum Vitae and reviewed the contents of this curriculum vitae, including all appended materials, except for the Chairperson's Report, Department's List of Referees, and letters of reference, and (check one):

() I find the materials in it to be complete and true

() I find the materials in it to be complete and true

with the exception of the following: _____

Candidate's Signature _____ Date _____

NOTA BENE

In the case of an Associate Professor being considered for promotion to the rank of Professor, the Advisory Panel shall consist of full professors. Faculty on leave from their professional title serving in Executive Compensation Plan titles may not serve on Advisory Panels or Promotion Committees. The Chair's Report, the List of Evaluators (referees), including the names of persons on the candidate's Advisory Panel or Tenure Committee, and Student Evaluation information must each be placed on a separate page.

CURRICULUM VITAE

DATE OF PREPARATION _____

1. NAME _____

Affiliations: (e.g. City College, Graduate Center, non-CCNY or CUNY affiliations, etc.) _____

2. RECOMMENDATION FOR

PROMOTION _____ REAPPOINTMENT _____
_____ REAPPOINTMENT WITH TENURE _____
(If with waiver, please indicate.)

TITLE _____

EFFECTIVE DATE _____ SALARY RATE _____
(Subject to financial ability)

3. HIGHER EDUCATION

(Indicate your Masters/PhD/Postdoctoral Mentor)

A. Degrees

<u>Institution</u>	<u>Degrees & Major</u>	<u>Date Conferred</u>
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B. Additional Higher Education and/Education in Progress

<u>Institution</u>	<u>Dates Attended</u>	<u>Courses, etc.</u>
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4. EXPERIENCE

(List in reverse chronological order)

<u>Position/Title/Rank</u>	<u>Dates</u>	<u>Institution / Department</u>
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5. ACADEMIC AND PROFESSIONAL HONORS (NON-FINANCIAL)

(Do not include grants or other financial awards listed in section 7)

6. RESEARCH, SCHOLARSHIP, AND CREATIVE WORK

(List in reverse chronological order, and if more than two authors/creators please indicate your contribution as Major, Equal, or Minor)

A. Peer and Critically Reviewed Work

- (1) Books and book chapters
- (2) Journal articles
- (3) Refereed conference proceedings
- (4) Critically reviewed work (e.g. exhibitions, performances, art work, works of architecture, landscape architecture, and urban design, curricular, audiovisual, or online materials, etc.) with description of works and venue, and reference to published critical review(s).

B. Other Scholarly Work (not peer/critically reviewed)

- (1) Invited articles
- (2) Conference proceedings and presentations
- (3) Other articles and contributed presentations
- (4) Book reviews or articles that assess others' work
- (5) Other scholarly and creative work (e.g. exhibitions, performances, art work, works of architecture, landscape architecture, and urban design, curricular, audiovisual, or online materials, etc.) with description of works and venue as applicable.

7. GRANTS, FELLOWSHIPS, AND AWARDS

(List in reverse chronological order)

Guidelines: Include the principal investigator/awardee, date/period of award, total amount (if applicable), and candidate's share (if applicable).

- (1) Grants
- (2) Contracts
- (3) Awards
- (4) Fellowships and scholarships

8. PROFESSIONAL ACTIVITIES

(List in reverse chronological order, including dates/periods)

- (1) Inventions and patents (including patent numbers)
- (2) Leadership roles and accomplishments
- (3) Accrediting or licensing boards
- (4) Industry boards
- (5) Government panels
- (6) Conference boards, panels, workshops, etc.
- (7) Review panels
- (8) Editorial panels and/or agencies, journals or presses for whom the candidate is a reviewer
- (9) Consulting

- (10) Membership in professional societies
- (11) Community service related to profession
- (12) External steering and advisory committees
- (13) Curatorial activities

9. INSTRUCTIONAL ACTIVITIES

(Material may be submitted as a portfolio in appendix II)

- (1) Student evaluations and peer observations
- (2) Clinical instruction
- (3) Innovative instructional activities, including curriculum and program development
- (4) Development of online/hybrid or service learning courses
- (5) Any additional material, produced by the candidate that constitutes clear evidence of the candidate's caliber and accomplishment as a teacher

10. ADVISING & MENTORING ACTIVITIES

- (1) Academic advising
- (2) Student project/research mentoring activities together with descriptions of mentored projects and list of mentees (as appropriate), and awards/grants won by mentees.
- (3) Student development activities (e.g. career options and resume workshops, alumni networking events, etc.)
- (4) Advising activities for student associations and societies

11. SERVICE AT THE CITY COLLEGE AND THE CITY UNIVERSITY

- (1) Service and contributions in leadership positions (e.g. Chair, Program Director, etc.)
- (2) Service on departmental, divisional, College, and University-wide committees
- (3) Mentoring of junior faculty members
- (4) Student recruitment activities

12. OUTREACH ACTIVITIES

- (1) K-12 outreach activities
- (2) Community outreach activities and other related volunteer work

APPENDICES

- I. Candidate's Statement (3 page limit)
The statement should put all the candidate's activities and accomplishments into a framework that makes a case for the pending tenure and/or promotion action. Include separate sections covering research and future research agenda, teaching, and service.
- II. Instructional portfolio (includes items specified in section 9)
- III. Additional items included for review. For certain faculty members the items listed above may need to be supplemented to provide an adequate presentation of a faculty member's activities. Such items should appear in this Appendix.
- IV. The candidate may include a CV as standard in their field.
- V. Letters of reference (Up to 6 names to be submitted by the candidate, and 6 names by the Departmental/Divisional Advisory Panel. A minimum of 6 letters are required, 3 from the candidate's list and 3 from the Panel's list.)
- VI. Chair's report (to be written after the Departmental Tenure and Promotion committee vote and before consideration of the application by the Divisional P&B) summarizing the candidate's case.

PROCEDURES FOR TENURE, CCE, and EARLY TENURE*

I. DEPARTMENT LEVEL

A. Departmental First Screening (For Candidates for Early Tenure Only):

1. Materials. The materials listed below are required for each candidate for early tenure as a basis for first screening:

- (a) An up-to-date curriculum vitae. For the first screening, the CV is assembled according to the Guidelines, but without letters of reference or Chair's Report. A department may adopt the use of an abbreviated CV, provided that it is used uniformly for all candidates in the first screening. Particular attention is drawn to the need for inclusion of student evaluation materials. The Chairperson and the candidate share responsibility for updating the CV;
- (b) Evaluations required by contract: this is the Chairperson's and/or members of the Tenure Committee's responsibility;
- (c) Copies of candidate's publications and other pertinent information for the CV: candidate's responsibility.

2. Procedures to be followed by Department's Tenure Committee in first screening (for early tenure considerations):

As a result of the first screening, the department will determine, by secret ballot, whether the candidate(s) shall be further considered for early tenure or not. If more than one candidate is being proposed, two lists shall be generated: those "for further consideration" and those "not for further consideration".

3. The Minutes of the First Screening will include:

- (a) list of all candidates considered;
- (b) The results of the secret balloting for each candidate;
- (c) statement by the Chairperson that the materials in Section I.A.1 were available for each candidate.

B. Departmental Second Screening of Candidates for Early Tenure and Only Screening for Candidates for Contractual Tenure and CCE

* Faculty members wishing to apply for early tenure should consult with their department chair and dean; the dean consults with the Provost. A faculty member whose application for early tenure is denied, either by the College or by the University, may still be reappointed without tenure, as that is a separate determination.

1. Materials.

The following materials are required for candidates successfully emerging from the first screening for early tenure, for those candidates who appealed a negative decision at the first screening, and, initially, for candidates for tenure and CCE:

- (a) The materials in Section I.A.1, including a completed CV, excluding the Chair's Report;
- (b) At least six (6) letters of evaluation [note: letters of evaluation are not required for CCE candidates]; and
- (c) Candidate's personnel file.

2. Procedures.

In general, the procedures for the second screening for early tenure consideration are the same as for the first screening. The additional material will, of course, be considered. However, no additional materials may be added after the second screening, unless the entire package is returned to the Tenure Committee for its reconsideration except in the case of an appeal to the Review Committee or the President.

As with all personnel actions, the discussion of candidates that takes place in reviewing bodies, as well as the vote itself, is confidential and shall not be shared with the candidate or others outside the committee.

Two lists, developed from the secret balloting, shall be headed:
"Candidates recommended to the P&B," and
"Candidates not recommended to the P&B."

3. The minutes of the second screening for transmission to the P&B Committee shall consist of the following:

- (a) A list of all the candidates considered;
- (b) The results of the secret balloting on each candidate, appearing as two lists as indicated above; and
- (c) A listing of the distribution of ranks and of tenure within the department prior to the action on the candidates considered.

4. The Chair's Report:

The Chair's Report is confidential with respect to the candidate. It is written following the meeting of the Tenure Committee at which the candidates have been recommended.

A Chair's Report must also be prepared for candidates not recommended who appeal to the next higher level. The Chair's Report is added to the Curriculum Vitae.

The Report should contain the Chairperson's evaluation of the candidate and any relevant information arising from the Chairperson's perspective. This can include his/her estimation of the factors that were considered and their relative weight in the Committee's decision. The Report should be an objective evaluation commenting on teaching effectiveness and classroom work; fit of candidate into department; institutional needs, etc.

In reflecting the nature of the elements leading to the departmental action, the Chair's report should include the candidate's incorporation, or lack thereof, of recommendations contained in all of the annual evaluations preceding the consideration for tenure. It may also contain the Chairperson's particular perspective, pointing out the candidate's strong points, as well as weaknesses, if any. The Chair's Report must be signed and dated.

II. P&B LEVEL

A. Materials

1. The minutes from the Tenure Committee meeting, insofar as they relate to successful candidates and for those who appeal, and a summary statement of the number of candidates considered and the voting results.
2. Copies of letters from unsuccessful candidates who have appealed the negative decision of the Tenure Committee.
3. For all candidates, materials in Section I.B.1, including the Chair's Report.

B. Procedures

1. The Academic Dean will first determine that the departments have correctly followed the procedures indicated in Section I. Departments not in conformity will have the relevant materials returned for correction.
2. No materials received after the date of the vote recorded by the departmental Tenure Committee may be considered by the P&B Committee, unless and until the candidate's package is remanded to the Tenure Committee for its reconsideration and then returned to the P&B Committee.
3. All votes on candidates will be by secret ballot with a Bylaw majority required for recommendation to the Review Committee.

- C. The minutes of the P&B actions** for transmission to the Review Committee shall consist of the following:

1. A list of all candidates considered; and
2. The results of the secret balloting.

III. REVIEW COMMITTEE LEVEL

Materials

1. The minutes from the Tenure Committee meeting, insofar as they relate to successful candidates and candidates who appealed the negative decision of the 1st screening (for early tenure considerations), and a summary statement of the number of candidates considered and the voting results.
2. The minutes from the P&B Committee, insofar as they relate to successful candidates and candidates who appealed the negative decision of the Tenure Committee, and summary statement of the number of candidates considered and the voting results.
3. Copies of letters from unsuccessful candidates who have appealed the negative decision of the P&B Committee.
4. For all candidates:
 - a) Completed CV (including Chair's Report and six (6) letters of evaluation); and
 - b) Candidates' personnel file.
5. A statement from the Dean that provides the distribution, by department, of personnel by rank and by tenure status.

IV. NOTIFICATION

- A.** The department Chairperson shall notify all candidates, in writing, of the decision reached by the appropriate departmental committee, no later than three (3) working days upon the conclusion of the department's consideration of all candidates for a particular action. In the case of early tenure, this applies to the first and second screening. (See sample letters included herein, at pages 33 and 34.)
- B.** The Dean shall inform all candidates, in writing, of the P&B actions within five (5) working days of the P&B's conclusion of its consideration of all candidates for a particular action. Tenure and CCE candidates not recommended by the P&B shall be notified of non-reappointment and date of termination of employment by the Dean, as

the Designee of the President. A copy of the notification should be sent to the Provost and the Dean of Faculty and Staff Relations.

- C. The Provost shall inform the candidates, in writing, of the Review Committee's recommendation to the President. Persons who have not been recommended by the Review Committee shall be notified by letter within five (5) working days following Committee's action along with notification of the appeal process, and shall constitute notice of non-reappointment and termination of employment on August 31 of the fifth year of service for those individuals not being recommended for tenure and CCE.

Persons recommended to the President shall be notified of the Committee's positive recommendation, in writing, within ten (10) working days after all candidates for a particular action have been considered.

- D. Any notification of a negative action, sent by the Dean or Provost, concerning tenure, early tenure, or CCE, at any level of the procedure (other than the President's decision), shall include a statement advising the candidate of the College's appeal procedure.

V. APPEALS

An individual not recommended for tenure, CCE, or early tenure may appeal a negative decision at any level.

Below the Presidential level, the appeal must be made to the next higher body, e.g., if negative at department level, the appeal is heard at the P&B level. If negative at the P&B, the appeal should be made to the Review Committee. If negative at the Review Committee, the appeal is made to the President. In each case, the candidate appeals, in writing, to the Chair of the next reviewing body. At any level, the candidate must initiate the appeal procedure within ten (10) working days of notification of the negative decision.

PROCEDURES FOR PROMOTION*

I. DEPARTMENT LEVEL

A. Departmental First Screening for Promotion

1. **Materials.** The materials listed below are required for each candidate for promotion as a basis for first screening, unless the candidate, after inquiry by the Department Chairperson, declines consideration for promotion. Since all individuals serving as assistant and/or associate professors are theoretically eligible for promotion to the next higher title, their candidacy should be determined beforehand.

- (a) An up-to-date curriculum vitae. For the first screening, the CV is assembled according to the Guidelines, but without letters of reference or the Chair's Report. A department may adopt the use of an abbreviated CV, provided that it is used uniformly for all candidates in the first screening. Particular attention is drawn to the need for inclusion of student evaluation materials. The Chairperson and the candidate share responsibility for updating the CV
- (b) Evaluations required by contract: Chairperson's responsibility.
- (c) Copies of candidate's publications and other pertinent information for CV: candidate's responsibility.
- (d) Candidate's personnel file.

2. Procedures to be followed by Departmental Committee in first screening.

As a result of the first screening, the department will determine by secret ballot two lists of candidates - those to be further considered and those not to be further considered.

3. The Minutes of the First Screening will include:

- (a) list of all candidates considered;

*In a department where the number of persons eligible to serve on a Promotions Committee consists of fewer than three (3) members, the President will, after consultation with the Divisional Dean and the Department Chair, appoint sufficient faculty from outside the Department to form a Promotions Committee of three (3) members. Members of Promotions Committees who have submitted a resignation or who are on retirement leave are not eligible to vote, nor are they counted in determining a majority. Persons serving in Executive Compensation Plan titles may not participate in promotional reviewing bodies, except for those on the College-wide P&B Committee of the Review Committee.

- (b) The results of the secret balloting for each candidate; and
- (c) statement by the Chairperson that the materials in Section I.A.1 were available for each candidate.

B. Departmental Second Screening for Promotion

1. Materials: The following materials are required for candidates successfully emerging from the first screening for promotion:

- (a) The materials in Section I.A.1, including a completed CV; and
- (b) At least six (6) letters of evaluation.

2. Procedures:

In general, the procedures are the same as for the first screening. The additional material, of course, will be considered. However, no additional materials may be added after the second screening, unless the entire package is returned to the Promotions Committee for its reconsideration. The lists developed by secret ballot should be headed:

- "Candidates recommended to the P&B;" and
- "Candidates not recommended to the P&B."

3. The minutes of the second screening for transmission to the P&B Committee shall consist of the following:

- (a) list of all the candidates considered; and
- (b) The results of the secret balloting on each candidate, appearing as two lists as indicated above.

4. The Chair's Report:

The Chair's Report is confidential with respect to the candidate. It is written at the conclusion of the second screening for candidates recommended to the P&B. A Chair's Report must also be prepared for candidates not recommended at the second screening but appealing to the next higher level. The Chair's Report is added to the Curriculum Vitae.

The Report should contain the Chairperson's evaluation of the candidate and any relevant information arising from the Chairperson's perspective. This can include his/her estimation of the factors that were considered and their relative weight in the

Committee's decision. The Report should be an objective evaluation commenting on teaching effectiveness and classroom work; fit of candidate into department; institutional needs, etc.

In addition to reflecting the nature of the elements leading to the departmental action, it should contain the Chairperson's particular perspective, pointing out the candidate's strong points as well as weaknesses, if any. The Chair's Report must be signed and dated.

The department should forward to the appropriate P&B the minutes of the final departmental screening insofar as they relate to successful candidates (and of those who appeal). The complete materials (completed CV with Chair's Report, etc.) for all candidates should also be forwarded to the P&B. A summary statement of the number of candidates considered and the voting results should be included.

II. P&B LEVEL

A. Materials.

1. The minutes from the 2nd Screening Promotion Committee meeting, insofar as they relate to successful candidates and for those who appeal, and a summary statement of the number of candidates considered and the voting results.
2. Copies of letters from unsuccessful candidates who have appealed the negative decision of the 2nd Screening Promotion Committee.
3. For all candidates, materials in Section I.B.1, including the Chair's Report.

B. Procedures

1. The Academic Dean will first determine that the departments have correctly followed the procedures indicated in Section I. Departments not in conformity will have the relevant materials returned for correction.
2. All votes on candidates will be by secret ballot with a Bylaw majority required for recommendation to the Review Committee.

C. The minutes of the P&B actions for transmission to the Review Committee shall consist of the following:

1. A list of all candidates considered; and
2. The results of the secret balloting.

III. REVIEW COMMITTEE LEVEL

Materials

1. The minutes from the final departmental screening, insofar as they relate to successful candidates and candidates who appealed the negative decision of the 1st screening, and a summary statement of the number of candidates considered and the voting results.
2. The minutes from the P&B Committee, insofar as they relate to successful candidates and candidates who appealed the negative decision of the 2nd Screening, and summary statement of the number of candidates considered and the voting results.
3. Copies of letters from unsuccessful candidates who have appealed the negative decision of the P&B Committee.
4. For all candidates:
 - a) Completed CV (including Chair's Report and six (6) letters of evaluation); and
 - b) Candidates' personnel file.
5. The Dean will have prepared a statement giving the distribution, by department, of personnel by rank and by tenure status.

IV. NOTIFICATION

- A. The department Chairperson shall notify all candidates, in writing, of the decision reached by the appropriate departmental committee, no later than three (3) working days upon the conclusion of the department's consideration of all candidates for a particular action. This applies to the first and second screening. (See sample letters included herein, at pages 35 and 36.)
- B. The Dean shall inform all candidates, in writing, of the P&B actions within five (5) Working days of the P&B's conclusion of its consideration of all candidates for a particular action.
- C. The Provost shall inform the candidates, in writing, of the Review Committee's recommendation to the President. Persons who have not been recommended by the Review Committee shall be notified by letter within five (5) working days following Committee's action. Persons recommended to the President shall be notified of the Committee's positive recommendation, in writing, within ten (10) working days after all candidates for a particular action have been considered.

- D.** Any notification of a negative action concerning promotion, at any level of the procedure (other than the President's decision), shall include a statement advising the candidate of the College's appeal procedure. However, no reason shall be given.

V. APPEALS

An individual may appeal a negative decision at any level. Below the Presidential level, the appeal must be made to the next higher body - e.g., if negative at first department screening, then all the materials required for the second screening should be collected and the appeal heard at the second screening. If negative at the second departmental screening, the appeal should be to the P&B. If negative at the P&B, the appeal should be made to the Review Committee. If negative at the Review Committee, the appeal is made to the President. At any level, the candidate must initiate the appeal procedure within ten (10) working days of the date of the notification of the negative decision.

**REAPPOINTMENT WITH TENURE NOTIFICATION FROM DEPT. TENURE
COMMITTEE**

[Date]

Professor _____
Department of _____

Dear Professor _____:

I am pleased to inform you that the Tenure Committee of the Department of _____, at its meeting of _____ [insert date], voted to recommend that you be reappointed as _____ Professor [insert title], with tenure, effective September 1, _____. This recommendation is being forwarded to the Divisional P&B Committee for its review.

Sincerely,

Chairperson

cc: [Divisional Dean]

**NON-REAPPOINTMENT WITH *TENURE* NOTIFICATION FROM DEPT.
TENURE COMMITTEE**

[Date]

Professor _____
Department of _____

Dear Professor _____:

I regret to inform you that the Tenure Committee of the Department of _____, at its meeting of _____ [insert date], voted not to recommend that you be reappointed as _____ Professor [insert title], with tenure, effective September 1, _____.

If you wish to appeal this decision, you may submit a written appeal to the Divisional P&B Committee within ten (10) working days of this notification.

Sincerely,

Chairperson

cc: [Divisional Dean]

POSITIVE NOTIFICATION FROM DEPT. PROMOTIONS COMMITTEE

[Date]

Professor _____
Department of _____

Dear Professor _____:

I am pleased to inform you that the Promotions Committee of the Department of _____, at its meeting of _____ [insert date], voted to recommend that you be promoted to the rank of _____ [insert title], effective _____ [insert appropriate date]. This recommendation is being forwarded to the Divisional P&B Committee for its review.

Sincerely,

Chairperson

cc: [Divisional Dean]

NEGATIVE NOTIFICATION FROM DEPT. PROMOTIONS COMMITTEE

[Date]

Professor _____
Department of _____

Dear Professor _____:

I regret to inform you that the Promotions Committee of the Department of _____, at its meeting of _____[insert date], voted not to recommend that you be promoted to the rank of _____ [insert title], effective _____[insert appropriate date].

If you wish to appeal this decision, you may submit a written appeal to the Divisional P&B Committee within ten (10) working days of this notification.

Sincerely,

Chairperson

cc: [Divisional Dean]

*The Board of Higher Education
of the City of New York*

Statement of the Board of Higher Education on
Academic Personnel Practice
in the City University of New York

In the past year, the Commission on Academic Personnel Practice made an extensive study of all policies and procedures concerning faculty personnel matters in the City University, and submitted its report to the Board of Higher Education in October 1974. In its deliberations the Commission heard testimony from a number of faculty members, students and administrators. Since the report was submitted, the University Faculty Senate, the University Student Senate, and the Professional Staff Congress, have all offered their views to the Board. The Chancellor, together with the Council of Presidents, have submitted their own recommendations to the Board. After reviewing all the pertinent documents, the Board hereby adopts the following as policy in matters of academic personnel practice:

I. General Policy:

1) The Board recognizes the historic tradition which vests both the privileges and responsibilities of academic governance in the faculty of a college. The faculty, as the body chiefly responsible for the educational mission as well as for academic standards, is that part upon which the health of the whole institution depends. In this role, the faculty has a long tradition of collegiality, in which its various educational responsibilities are freely shared among its members.

Central to the exercise of this collegial responsibility is the practice of peer judgment, by which the faculty assumes the responsibility for its own vitality. In this role, the faculty sets standards for its own qualifications, ethics and performance. The collegial body itself maintains such standards by the exercise of its own authority. But such authority, if freely consented to, must be responsibly and regularly exercised. Thus, the willingness of the faculty to judge itself rigorously determines its capacity to define the institution's mission and to maintain its standards.

As the executive agent of the college, of the Board as well as the principal academic officer, the President plays a pivotal role in all faculty personnel matters at the college level.

The President, as the person ultimately responsible to the Board of Higher Education, is accountable for seeing that the mission of the college fits into the broader mission of the University. Within the college itself, the President, in his capacity as principal academic officer, is similarly responsible for bringing to bear on all faculty personnel matters a broader institutional concern.

The President must thus be the guarantor of the integrity of all faculty personnel processes. He must be accountable for the overall quality and appropriateness of the faculty at his institution. And he must also be the educational leader of the faculty.

In the daily administration of academic personnel practice at the college, the President shall be responsible for introducing into all faculty personnel deliberations those college-wide considerations which make a faculty decision both feasible and rational. In practice, the President shall be responsible for making known information on all institutional factors, such as projected enrollment, budgetary matters, program priority, which must be taken into account at every level of personnel action. The President shall be held accountable for seeing that such pertinent institutional information is assembled, and that those faculty concerned with personnel decisions are familiarized with it in a timely fashion for their deliberations.

2) Department chairmen shall hold professorial rank (assistant professor, associate professor or professor) and be tenured at the time of election. In cases where a department has two or fewer such members, the President may, after consultation with the departmental faculty, appoint the chairman.* Colleges and/or departments in existence for less than seven years may be exempt from compliance with this requirement for a period of up to seven years from the date they became functional.

In those instances where an individual is recruited to serve as chairman from an institution outside of the City University, the requirement for tenure may be waived.

* The General Counsel to the Board shall be instructed to determine what, if any, change in the Board's Bylaws is necessary to effect this new policy, and to prepare for the Board's approval such amendments as are deemed necessary. Incumbent chairmen who do not meet these requirements should be permitted to fulfill the term of their chairmanship, and this should be effected in the implementation of the Policy Statement.

3) a) No faculty member who does not hold senior rank (associate professor or professor) shall vote on any promotion to full professor. It is the intent of the Board that faculty decisions concerning tenure shall be rendered by committees composed predominantly of tenured members. Accordingly, no more than one non-tenured faculty member should serve on departmental personnel and budget committees. This provision shall not apply to new colleges or newly organized departments which have fewer than five tenured faculty members.

b) In newer colleges or newly organized departments where there are too few faculty members available to serve on faculty personnel committees for the actions in 3.a. above, the President, after consultation with the faculty, shall create an ad hoc committee to decide on those personnel actions.

4) The Board reaffirms its commitment to the consideration of student evaluations in faculty personnel decisions involving reappointment, promotion and tenure, according to the provisions in the governance plan in effect at each college.

5) The senior faculty shall have special responsibilities for maintaining the academic vitality of their departments. One of the principal means of exercising this responsibility is the continuation of peer evaluations of members of the faculty, with special attention to their diligence in teaching and professional growth. Another chief responsibility of the senior faculty is to orient their junior and newly appointed colleagues. Senior faculty shall be available for such consultation and assistance in problems of both scholarship and teaching as the junior faculty may require, and this mandate shall be considered a part of the professional obligations of the permanent faculty.*

II. Recruitment

The Board agrees with the findings of the Commission on the nature and scope of the recruitment process at the various colleges of the University. It fully supports the Commission's understanding that the quality of all faculty personnel decisions and of the faculty itself, depends upon the quality of the initial recruitment effort.

1) The recruitment process is essentially a continual one. Because of the City and State structures within which the University's budget process operates, the University cannot expect to clarify the availability of budget lines before the late Spring of a given academic

year. Because of this the recruitment effort for any full-time faculty appointment should normally be of at least one year's duration. When an appointment must be made without such an effort, the candidate appointed shall be apprised that the search is continuing.

2) The primary responsibility for recruitment shall rest with department chairmen, who in turn are responsible for the work of the personnel committees which they chair. Department personnel committees shall be accountable for their recruitment efforts, and they shall maintain written records of the recruitment process.*

3) Each position for which a department recruits must be justified and defined on the basis of the following criteria:

a) The need for the position must be clearly established in the context of such department factors as the current state of its faculty in terms of age, rank and areas of specialization, the development of new aspects of the discipline, future needs of new programs, and projections of student enrollment.

b) The need for the position must be clearly established within the context of such college-wide factors as long-range plans and budget priorities which have been set for departmental consideration under I,1. The President, after consultation with the faculty and appropriate governance bodies, shall also have final responsibility for setting College-wide priorities for recruiting.

c) Those academic and professional credentials and qualifications which are appropriate to the position and rank, in conformity with the needs as determined by (a) and (b) above, must be clearly established.

d) A full statement, of the terms and conditions of employment, and of the statutory evaluative criteria and procedures for reappointment and tenure, shall be given to all candidates.

4) When the need for a position is clearly established on the basis of the criteria above (II,3), the department shall mount a recruiting effort on a national scale that includes but is not limited to the following features:

a) notice that the University is an equal opportunity employer;

b) advertisement, including all pertinent data concerning the position in the appropriate scholarly and professional journals and periodicals;

- c) notice of the position throughout the University, including at the appropriate departments of the various colleges, for the benefit of any employees, part-time or full-time, who might be qualified;
- d) full consideration of all unsolicited applications in the possession of the recruiting department and college as well as all adjunct faculty who wish to be considered.
- e) maintenance of written records on the procedures used in the recruitment effort and in selecting a candidate to recommend for appointment. Such records must include whatever other data may be required for compliance with the federal affirmative action regulations. The records shall also include verification of the credentials of the candidates presented to the Board of Higher Education for appointment, and of the proper observance of announced closing dates for application.
- 5) There shall be a University standard letter of appointment.
- 6) The Chancellor will publish annually an analysis of the University's recruitment procedures, a sampling of its recruitment records, and his own judgment as to the adequacy of the recruitment effort. This report will attempt to analyze and evaluate each college's performance, but will not focus on individual cases.

III Reappointment

The Board reaffirms the Commission's insistence that the decision to reappoint and the decision to tenure are two separate and distinct acts. Similarly, the Board reaffirms its position that no appointment carries with it the presumption of reappointments or of eventual tenure.

1) In order to enhance and maintain flexibility in recruitment, appointment and re-appointment, the Board authorizes the option of two-year appointments for full-time members of the instructional staff, in appropriate instances, at the discretion of the college.

2) Decisions to reappoint faculty members shall take into account such institutional considerations as have been established and disseminated as a framework for all academic personnel actions.*

3) The criteria upon which decisions to reappoint are based shall be as follows:

(a) First Reappointment Candidates for reappointment at the end of their initial term of appointment on a full-time line shall be evaluated on the basis of the following criteria:

(i) Teaching Effectiveness - There are a variety of ways, including classroom observation, to evaluate this criterion. The evaluation, however, should extend beyond the classroom, since the faculty members obligation to the students goes beyond normal class hours. Personnel committees should consider student evaluations as a factor in assessing the teaching effectiveness of an instructor.

(ii) Scholarly and Professional Growth - Candidates in tenure bearing titles for the first reappointment are expected to demonstrate their potential for scholarly work and their achievement in some of the following ways:

a) Evidence of research in progress leading toward scholarly publication.

b) Publication in professional journals.

c) Creative works, show and performance credits, etc., when such are appropriate to the department.

d) Development of improved instructional materials or methods.

e) Participation in activities of professional societies.

(iii) Service to the Institution - Since all full-time faculty members share broad responsibilities toward the institution, work in departmental and college committees should be considered in over-all evaluations. Although it is understood that not all junior faculty members will have an opportunity to serve on important committees, their evaluation should consider evidence of their informal contribution to such committee work and their participation in other regular administrative activities such as governance, registration, advisement, library and cultural activities.

(iv) Service to the Public - A candidate, though not expected to do so for the first reappointment, may offer evidence of pertinent and significant community and public service in support of reappointment.

b) Second and Subsequent Reappointments. In addition to criteria for the first reappointment candidates for the second or subsequent reappointment shall be evaluated on the basis of the following criteria:

(i) Teaching Effectiveness - Evaluation of this criterion shall include contractual teaching observations and peer judgements: assessment of the instructor's effort and success in developing new methods and materials suited to the need of his students; and assessment of student evaluations, and of other non-classroom educational efforts such as academic advisement.

(ii) Scholarly and Professional Growth - Candidates for the second and subsequent reappointments are expected to offer evidence of scholarly contributions to their disciplines. Evaluations of the quality of such work may be sought from outside the department. Achievements in the period following the last reappointment should be evaluated on the basis of publications of scholarly works in professional journals, or reports of scientific experimentation; scholarly books and monographs, and evidence of work in progress; significant performance or show credits or creative work; and improved instructional materials and techniques that have been found effective in the classroom either in the City University or elsewhere.

(iii) Service to the Institution - Effective service on departmental, college, and university committees.

(iv) Service to the Public - Institutions of higher education are expected to contribute their services to the welfare of the community. Although such activities are a matter of individual discretion and opportunity, evaluation of a faculty member for reappointment should recognize pertinent and significant professional activities on behalf of the public. The absence of this contribution should not work to the disadvantage of any candidate for reappointment.

4) Judgments on reappointment should be progressively rigorous. In the second and subsequent reappointments, a candidate should be able to demonstrate that he has realized some of his scholarly potential. Similarly, standards of acceptable performance as a teacher should be graduated to reflect the greater expectations of more experienced faculty members.

IV Tenure

1) The decision to grant tenure shall take into account institutional factors such as the capacity of the department or the college to renew itself, the development of new fields of study, and projections of student enrollment.*

2) The criteria upon which decisions to tenure are based shall be as follows:

a) Teaching Effectiveness - Tenure appointments shall be made only when there is clear evidence of the individual's ability and diligence as a teacher.

b) Scholarship and Professional Growth - Evidence of new and creative work shall be sought in the candidate's published research or in his instructional materials and techniques when they incorporate new ideas or scholarly research. Works should be evaluated as well as listed, and work in progress should be assessed. When work is a product of a joint effort, it is the responsibility of the department chairman to establish as clearly as possible the role of the candidate in the joint effort.

The following factors may be supplementary considerations in decisions on tenure. The weight accorded to each will vary from case to case.

c) Service to the Institution - The faculty plays an important role in the formulation and implementation of University policy, and in the administration of the University. Faculty members should therefore be judged on the degree and quality of their participation in college and University government. Similarly, faculty contributions to student welfare, through service on committees or as an advisor to student organizations, should be recognized.

d) Service to the Public - Service to the community, state and nation, both in the faculty member's special capacity as a scholar and in areas beyond this when the work is pertinent and significant, should be recognized.*

3) Tenure shall not normally be granted before the fifth annual reappointment. Only in exceptional cases may tenure be granted before that time: when appointment to the faculty at the University requires the continuation of tenure previously awarded by another institution of higher learning; when a prestigious fellowship valuable to the college concerned interrupts continuous service during the probationary period; or when some extraordinary reason indicates that the college would be well served by the early grant of tenure.*

4) The Chancellor will publish annually a report on tenure in the University, which analyzes the actions of each college and contains such pertinent data as may be of assistance to the college in the management of tenure. The report will also contain the Chancellor's judgment on the quality of tenure procedures and actions.

V Promotion

The Board fully supports the Commission's recommendation that the criteria established above for reappointment and tenure apply equally to decisions on promotion. It also reaffirms the Commission's caution that judgments on promotion be sufficiently flexible to allow for a judicious balance among excellence in teaching, scholarship, and other criteria.

When considering decisions on either promotion or tenure, personnel committees should bear in mind that the two judgments represent two distinct acts. Just as it would be unwise to promote those whose qualities for tenure are questionable, so it would be equally ill-advised to tenure those whose capacity for promotion to senior rank is judged to be limited.

1) The criteria for promotion shall be as follows:

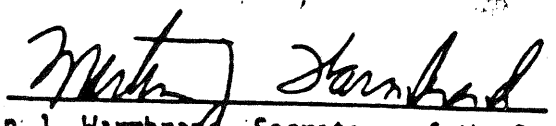
a) to Assistant Professor (technically a new appointment) - The candidate must possess the Ph.D. degree and submit evidence of qualification to meet, in due time, the standards required for the first reappointment. Those persons without the Ph.D. currently holding positions as Assistant Professors and instructors at the Community Colleges shall not be affected by this provision.*

Until the committee appointed by the Chancellor to study equivalencies and waivers has made its report, the Dylaw statements dealing with equivalencies and waivers will remain in force.

b) to Associate Professor - The candidate shall present evidence of scholarly achievement following the most recent promotion, in addition to evidence of continued effectiveness in teaching; the candidate should thus meet the qualifications required above (IV, 2) for tenure.

c) to Professor - The candidate must meet all the qualifications for an Associate Professor, in addition to having an established reputation for excellence in teaching and scholarship in his discipline. The judgment on promotion shall consider primarily evidence of achievement in teaching and scholarship following the most recent promotion.

September 22, 1975, Cal. No. 5.


Martin J. Warmbrand, Secretary of the Board