

2/26/2009

## Guidelines for the completion of the Appointment/Status Change Recommendation

The President/Chief Administrative Officer, using the authority of the Policies of the Board of Trustees of the State University of New York, is the appointing authority for the unclassified service (academic and professional staff). At SUNY Maritime College the President has delegated responsibility for actually signing appointment recommendation forms and appointment letters to the Chief Financial Officer/Vice President for Administration.

The Department of Civil Service, under the authority granted to it by the New York Civil Service Law and the Civil Service Rules for State Service, is the ultimate appointing authority for the classification of positions in the classified service and for appointments to them.

The Office of Human Resource Services acts as the local arm of the Department of Civil Service.

To avoid problems, communication to candidates prior to approval of an appointment by the appropriate authority or designee (e.g. search committee) must include enough caveats to ensure that candidates do not interpret it as an offer of appointment.

These guidelines have been written to assist departments in the completion of the Appointment/Status Change Recommendation form. It is intended that form will be used to recommend new appointments and changes of status:

- The completed form with appropriate attachments (e.g. resume, official transcript for new appointees) will be forwarded to Human Resource Services for review and for the preparation of the appointment letter before the appointment package is routed through the appropriate Vice President for approvals.

Critical information that must be provided before an initial appointee can be appointed include legal name, current legal address, social security number, and date of birth. Personnel responsible for completing the appointment recommendation form should take special care to protect this sensitive information except where there is a official "need to know". To help protect this information it should not be included on subsequent appointment recommendations following the employee's initial appointment to the payroll.

*[As something new, this may seem overwhelming at first but we are convinced that the processing of this form will become second nature after a semester of use. Once an appointment or change has been processed for an employee, the department will have a copy of the form and the letter in its own files for future reference in the processing of subsequent transactions for the employee.]*

If possible, appointment forms should be printed on ivory or ecru colored paper so that they can be quickly identified for processing and when searching for them in personnel files.

**Dates** (general information)

For appointment, leave, and separation transactions for employees paid annually who have calendar year obligations, the payroll effective dates and employee obligation to department dates always agree and appointment transaction dates always agree.

Likewise, employees paid on an hourly basis will be appointed and paid effective the first day they work and separated effective next day beginning of business, based on their last day worked. However, for employees with academic year or college year obligations, we usually use different dates to distinguish between their period of obligation and the period during which they are being paid. For example, part-time faculty (adjuncts, lecturers) and graduate/teaching assistants, who have semester, or academic year obligations, are paid bi-weekly at a rate equivalent to dividing their "salary" by 10 pay periods per semester.

For **academic year 2007-2008** adjuncts will be appointed and paid as follows:

Fall	2009 Semester	08/20/2009	-	01/06/2010
Spr	2010 Semester	01/07/2010	-	05/26/2010
AcaYr	2009/2010 AY	08/20/2009	-	05/26/2010

**Academic Year Obligation for 2009-2010**

**Full-Time Faculty:** August 17, 2009 - May 7, 2010

**Adjunct Faculty:** Fall: August 24, 2009 - December 23, 2009  
Spr: January 6, 2010 - May 5, 2010

*Very important...The academic year obligation for each semester and for the entire academic year is necessary in order to determine what percentage of an academic year obligation an employee has completed if s/he dies or otherwise separates from service during an academic year. This is necessary in order to determine how much of salary, if any, must be paid as a balance of contract for full-time academic employees paid on the CAL payment mode (which is almost 100% of them).*

For the appointment form, the effective date and ending date should correspond to the period of payroll obligation.

For full-time academic year employees, the contract year for appointment letters and for payroll purposes (with few exceptions) are the same. The beginning and ending dates for these appointments should be September 1 and August 31, respectively.

Dates for full-year sabbaticals for employees with academic year obligations will always be September 1 through August 31 (this does not preclude these employees from coming back and teaching summer session--**summer session is a separate appointment**).

Dates for one semester sabbaticals at full-pay should be:

Fall Semester 09/01/xx - 12/31/xx

Spring Semester 01/01/xx - 08/31/xx

**[Appt Effective Date]**

An effective date must be included on all appointment/status change recommendations. Appointment and separation dates should be stated as beginning of business (BOB). In separation field, enter type of separation, and in "last day worked" field enter the last day worked as close of business (COB) according to payroll obligation. Effective date of any separation is next day beginning of business. Care should be taken to avoid making appointments effective the day before or on holidays or other non-working days unless it fulfills an essential need and is a deliberate act – the employee will actually be required to work that day.

**[Retiree Check Box]**

If you are re-employing a retiree, please check this box. Pursuant to Section 211, retirees re-employed by same employer from which they retired are subject to an earnings limitation. By checking this box, you are alerting us to a potential NYS retiree that may need to comply with Section 211/212 of the Retirement and Social Security Law.

**Name [Salu, First Name, MI, Last Name, Name Suffix]**

The employee's full legal name including name salutation (Capt., Dr. Ms. Mrs., etc.), first name, middle name or initial, last name, and name suffix (Jr., III, etc.) must be entered for all transactions. The name entered on the appointment should be the employee's legal name as it appears on employee's social security card. The appointment/status change recommendation form establishes the first legal identity of the employee in our College records, and it is important that it be entered correctly. The use of nicknames on official College documents is inappropriate.

**[SSN]**

The social security number must be entered for all appointees. Appointees cannot normally be added to the payroll without a social security number. It is essential that the social security number be accurately entered on the form. The social security number is a key identifier of an employee for tax withholding purposes, for benefits administration, and for maintenance of employee records. An error in entering this number incorrectly on the appointment form can result in delayed paychecks for the employee as the college works to correct the error.

**[DOB] Birth Date**

The date of birth is required information which must be obtained before an appointment will be accepted into our personnel data system. While it is improper and/or illegal to require the date of birth prior to the completion of the selection process, it is not only appropriate

but essential to seek it once the candidate has been identified to be recommended for appointment.

### **Military Service Status**

By providing the military status of new employees, we can update our systems with accurate information. For classified service employees, military service may provide them with additional seniority rights. Employment of veterans is also encouraged by various Federal and State laws and executive orders and it is therefore essential to have this information for statistical reporting.

### **Address [Street, City, State, Zip]**

A home mailing address must be entered for all new appointees. Enter the address to which the appointment letter should be sent. Campus Address including room number, building name, and office telephone extension are required fields in order to report for directory purposes. The building names for the campus can be entering by selecting from the drop down menu in this form field. If at the time of hire this information is unknown, default these fields to the department secretary's campus address and phone number.

### **[Department Name]**

Enter the name of the department that is to be the "home of record" of the appointee. This is the department which will be contacted regarding evaluation, renewal, termination, etc., decisions affecting the employee and where all official correspondence to the employee will be sent, including pay stubs and attendance forms. Because of the large number of departments within the College's organization, we cannot offer all of the options in a dropdown window on the appointment form template.

### **[Budget Title and Grade]**

Enter legitimate budget title for the position to which the person is being appointed. For full-time appointments this should be the title you were authorized to search and fill. Title is synonymous with rank. Cleaner, Assistant Librarian, Staff Associate, Counselor, Residence Hall Director, Lecturer, and Professor are examples of title/rank. (We are trying to eliminate local titles except for their use in the Faculty/Staff Directory or the College Catalog. Local titles for these documents are collected separately). Grade "NS" means non-statutory and this is the grade to be used for all academic titles/ranks. Classified service grades are statutory SG grades in the form SGxx, management professionals have a MP-Level, and professional employees have a SL grade. Part-time faculty should generally appointed to the titles Adjunct Instructor or Adjunct Lecturer unless their credentials would qualify them for academic rank if they were to be appointed to full-time status. In such circumstances, it is appropriate to recommend appointment to an adjunct title that reflects the academic rank for which they would be otherwise qualified (ie., Adjunct Assistant Professor, Adjunct Professor, etc.). For example, do not recommend "Adjunct Professor" for an adjunct faculty member who would not qualify for the rank of professor on a regular appointment.

The Budget Title and Grade field refers to the State University of New York approved title from which the employee is paid.

**[Local Title]** field refers to the campus designated title in appropriate relation to the Budget Title. Local titles should not be used if there is a budget title that appropriately identifies the appointee's role. For example, you should not recommend the use of a budget title of Staff Assistant for someone who will do admissions recruiting and give him/her the local title of Admissions Counselor. Admissions Counselor is an approved unclassified service title for use by SUNY campuses and, in this example, the official position should be reclassified to Admissions Counselor thus eliminating the need for a local descriptive title. This is a particularly serious problem if you use a local descriptive title that is on the approved SUNY list and is assigned to a higher salary grade than the budget title to which an employee is appointed if the employee's salary is below the minimum for "local title".

### **[Appointment Type]**

Enter the appropriate appointment type in the second column for new appointees. For recommending a change in appointment type, enter the current appointment type in the left column and the new appointment type in the right column. Ending dates must be entered for temporary, term, and provisional appointment types. Acceptable appointment types for employee categories are:

**Classified:** CONT (Contingent Permanent), PERM (Permanent), PROV (Provisional), TEMP (Temporary) \*(not probationary)

**Faculty:** CTNG (Continuing), TEMP (Temporary), TERM (Term)

**Librarian:** CTNG (Continuing), TEMP (Temporary), TERM (Term)

**M/C:** ADMIN (Administrative)

**Professional:** PERM (Permanent), PROB (Probationary), TEMP (Temporary), TERM (Term)

*\*Classified employees appointed PERMANENT serve a probationary period but it is not a "probationary appointment".\**

Adjunct faculty and part-time professional employees should be given temporary appointments except that, such appointees who have been employed at the College on a part-time basis for six consecutive semesters must be granted term appointments. The notice date in the event of non-renewal for such part-time term appointees is 45 days prior to the expiration date. Once a part-time employee has earned the right to a term appointment, she/he is entitled to be reappointed to term appointments unless the service of such individual is interrupted for a period of four consecutive semesters or more. Such appointees may be given temporary appointments again in this situation. It is important to review such appointees and make sure timely recommendations for reappointment or non-renewal are processed if the part-timer's services will not be required for the next academic year. Note: Part-time service, such as qualified rank, does not count towards satisfying the service requirements for Permanent or Continuing appointment for members of the "professional staff".

### **Administrative Designations**

List all current status of primary appointment including department, budget title and grade, salary basis, current payroll end date. For the recommendation of an administrative designation (ie., Chairs, Associate Deans, Directors of Academic Programs), enter the payroll effective date, ADMIN DESGN as appointment type, the new local title (Chair, Associate Dean, Director of ....., etc.), associated with the designation title, the anticipated end date for the designation, "stipend"-if any, as a salary basis, and the amount of the stipend, if any, as salary.

To report the completion of an administrative designation, it requires a new appointment/status change recommendation form. List all the current status pertaining to administrative designation in previous/current column. In new appointee/new status column enter only changes. In the separations field, enter separation type as "END ADMIN DESGN". For payroll effective date of this form, enter next day beginning of business (BOB) date based on date entered in last day worked (COB) field in separations field.

*[Note: Administrative Designations usually relate to roles accepted by appointees serving in academic rank titles. Such designations normally do not affect the "appointment status" of such employees. They continue to be paid in their appointment title (ie., Assistant Professor), and their administrative designations do not in any way alter their terms and conditions of employment associated with their official appointment status.]*

### **Volunteers**

When recommending Volunteer Appointments, enter effective date, name, social security number, birthdate, address, department, supervisor, "VOLUNTEER" as appointment type, the volunteer title (Volunteer Instructor, Volunteer Assistant Basketball Coach, etc.), the end date, and "0" as salary. Where appropriate to do so, the appointment of volunteers provides them with indemnification under the public officers' law and gives the protection of workers' compensation if they are injured in the performance of their volunteer duties.

### **[Supervisor's Name]**

Enter the name of the immediate supervisor of the employee who is responsible for evaluation and for initiation of personnel transactions relating to the appointee's employment. For faculty, enter the name of the chair of the department unless the employee will specifically report to someone else. In this field, enter only the first and last names supervisor. Please do not use nicknames.

### **[Obligation]**

Enter the appropriate obligation period associated with the appointment. Choices are Academic Year, Calendar Year, and College Year for persons appointed on an annual salary basis as opposed to being paid on a bi-weekly, fee, or hourly basis. Professional employees can be appointed to calendar year and college year obligations, but cannot be appointed to academic year obligations. Academic employees' obligations can be either academic year or calendar year, although calendar year obligations for faculty at SUNY Maritime College should be rare exceptions which must be supported on the basis of year-round programmatic needs. For Temporary Service positions being paid HRY or FEE,

choose "other" for obligation. For Temporary Service positions with ACA YR obligation, use ACA YR, otherwise use other

### **[Employee Obligation Dates]**

This form field only needs to be completed "professional employees" (not academic employees) who are appointed with college-year rather than calendar-year obligations. This information is necessary for the preparation of appointment letters for such college-year obligation professional employees.

### **[Salary Basis]**

Enter the appropriate payment method (annual, bi-weekly rate, hourly rate, semester rate, etc.) that corresponds to the entry for "salary". If the appointee is to receive an annual salary (most full-time appointees should), the salary mode should be ANN for annual. If you wish to enter the amount in "salary" that the appointee will receive for one semester, enter SEM for salary mode. [Note: adjuncts are paid biweekly over 10 payments per semester]

### **[Salary]**

Enter the base annual salary, the semester salary, the fee or the hourly rate at which the appointee should be paid.

Note: the minimum rate for adjunct lecturers/lecturers {part-time faculty} has been set at \$1000 per credit hour/\$3,000 per three credit hour undergraduate course -- reappointees are eligible for negotiated increases unless or until there is a break in service of one full year. Adjuncts will generally be paid on a biweekly basis for 10 pay periods per semester. The salary entered for a semester will be divided by 10 to compute the biweekly rate. Adjuncts appointed for the full academic year will be paid over 20 consecutive pay periods (e.g. for 2007-200 they will be appointed to the payroll on August 23, 2007 and removed from the payroll on May 30, 2007).

### **[Appnt End Date]**

- Temporary, provisional, term, and probabtinary (professional employees promoted to new title)appointments must have ending dates entered. For temporary appointments that can be terminated at any time, this date is the "not-to-extend-date" that sets the limits on the appointment duration. Temporary appointments cannot be longer than one year in duration.
- Term appointments which require that appointees be given timely notice in the event the terms will not be renewed normally can be of any duration up to a maximum of three years. The exception is for professional employees appointed at the Director level whose titles are included in Appendix A of the Policies of the Board of Trustees of the State University of New York. Such appointees, who are not eligible for permanent appointment in the Appendix A titles, receive five year term appointments after serving for three years in such titles.

As well as helping to define an appointee's terms and conditions of employment, this ending date also becomes a "tickler" date to serve as a reminder that a reappointment, renewal, termination, or non-renewal must be processed.

Except for temporary appointees paid on a biweekly basis for whom terminations are automatically process at the time of appointment based upon this ending date, a separate Appointment/Status Change Recommendation Form must be processed to effect all other separation transactions, including appointees paid hourly. A new appointment form is also required if the end date of a temporary employee is changing.

*Note: Term and Temporary Appointments cannot be processed without the inclusion of ending dates.*

**[Courses]**

The agreement between the State University of New York and United University Professions (UUP), the bargaining representative for the "professional staff" of SUNY requires that the appointment letters for part-time faculty spell out their specific obligations including courses they will teach. Consequently, it is essential that this information is provided in the appropriate places on the appointment/status change recommendation form.

**Full-time/Part-time/Percentages**

Check the appropriate box for full-time or part-time as appropriate to employee's appointment. For part-time employees who teach select PT from the drop down and indicate the appropriate budgetary percentage based upon the number of courses (ie., 12.5%, 25%, 37.5%, etc.). For analytical purposes, including the determination of faculty-student ratios and departmental workload, we are currently assigning part-time percentages to adjuncts as follows:

12.5%	1 course
25.0%	2 courses
37.5%	3 courses

**[Funding Source]**

Enter the funding source to which the appointment of the employee should be charged [Personal Service Regular (PSR) or Temporary Service (TS)]. Part-time appointees including adjuncts are typically paid from temporary service. It is important to note that only annual salaried employees may be paid from personal service regular funds and that appointees whose positions are supported by temporary service funds (T/S) can only be paid on an hourly, biweekly, or fee basis.

**[Account to be Charged]**

Enter the account number the appointment to which the appointment will be charged. *[With due concern for ensuring that appointees are charged to the correct accounts we must require an account number for all appointments/reappointments.]*

## **[Leave]**

Leave types include Sick, Sabbatical, Education, etc. Lv Sal Pct is the percent of the salary the appointee will receive during the period of the leave. For example, enter 50% for a full year sabbatical or a sick leave at half pay. Do not enter the return from leave date on the same transaction that recommends the leave. Except for sabbatical leaves, a separate transaction to report a return from leave must be processed just prior to the end of a leave when the appointee's return is certain. Transactions to return employees from sabbatical will be automatically entered when the leave is approved. However, a timely Appointment/Status Change Recommendation form must be processed if for any reason the employee does not return as scheduled.

## **[Separations]**

Separation reasons include non-renewed, end of temporary, resignation, death, retirement, etc. The separation date is generally the close of business on the last day worked. This applies particularly for employees who were appointed with calendar year (annual) obligations or paid hourly from time sheets. The separation date for an employee with an academic year or college year obligation is the close of business the last day worked if it occurs prior to the completion of the obligation period. (e.g. semester or academic year). Otherwise, it is the "not beyond date" (temporary appointments) or the term expiration date (term appointments) which was stated in the appointment letter.

Appropriate separations types, 'SEPARATION TYPE' are:

- END TEMP for end of temporary appointment
- NON-RENEW for non-renewal of term appointment
- DEATH for death of appointee
- RETIRE for retirement of appointee
- RESIGN for resignation
- DISABLE for separation due to disability
- END ADM DESGN for end of administrative designation (e.g. chair designation)

Except for the "Approvals" section and any "Special Appointment Stipulations", the rest of the form deals with position funding and civil service list information which will be completed in Human Resource Services. However, if the item # of the position to support the appointment is known, it will be helpful to the Office of Human Resources staff if you will enter it for them. Generally, except for faculty lines, departments will know the item numbers of their positions from the periodic listings Human Resource Services will be sending to them. The approvals section contains space of appropriate approval initials of chairs or immediate supervisors (Unit Head), Vice President, and Chief Administrative Officer (President) or designee.

If special appointment stipulations apply, the recommending officer should so indicate in the Appointment Comment field and attach additional documents if needed.

*Examples include such stipulations as: offer of appointment contingent upon enrollment of 20 students in course, or, further appointment beyond this term contingent upon your receipt of your doctorate degree, extra service appointment, etc.*

## **[Copies]**

Copies of appointment letters resulting from recommendations will be distributed to recommending unit heads.

*[We strive to make copies of appointment forms and distribute to departments and offices in the event that we make a correction on the form. Please utilize these copies and update your database or copies of forms you keep in your respective offices/departments. We strongly encourage you to keep electronic copies of all Appointment/Status Change Recommendation forms that you forward to the HR Office.]*

## **Additional Information:**

### **Qualified Academic Rank**

Qualified academic rank is rank held by those members of the academic staff having titles of lecturer, or titles of academic rank preceded by the designations "clinical" or "visiting" or other similar designations."

Members of the academic staff having "qualified academic rank" have all the terms and conditions of similarly appointment staff having "academic rank" except that time served in a position of qualified academic rank does not count towards meeting tenure requirement and appointees to qualified academic rank cannot, by definition, hold continuing appointments. By default, all part-time service is qualified academic rank.

### **Notice Requirements- (Term Appointments)**

In the event a term appointment is not to be renewed upon expiration, the chief administrative officer or the chief administrative officer's representative will notify the appointee in writing not less than:

- Forty-five calendar days prior to the end of a part-time service term appointment;
- Three months prior to the end of a term expiring at the end of an appointee's first year of uninterrupted service with the University, but not later than March 31 for terms ending in June, July, or August;
- Six months prior to the end of a term expiring after the completion of one, but not more than two, years of an appointee's uninterrupted service within the University, but not later than December 15 for academic year employees and mentors at Empire State College whose terms end in June, July or August;
- Twelve months prior to the expiration of a term after two or more years of uninterrupted service with the University; and
- Six months prior to the expiration of a term for titles listed in appendix B(1) and B(2), infra.

### **Unclassified Service**

In the State University of New York, the unclassified service comprises all positions in the State University in the professional service as defined in subdivision three of section three hundred fifty-five of the education law, which positions shall be determined, and certified to the Civil Service Commission, by the Chancellor of the State University. The professional service includes positions requiring the performance of educational functions in teacher

education, agriculture, home economics, forestry, ceramics, liberal and applied arts and sciences, engineering, technical skills, crafts, business education, labor and industrial relations, medicine, dentistry, veterinary medicine, pharmacy, nursing, law, public affairs, maritime officer training, academic administration, library service, student activities, student personnel service, and other professions required to carry on the work of the state university and of the colleges, schools, institutes, research centers, facilities and institutions comprising it.

### **Classified Service**

The Classified Service comprises all offices and positions not included in the unclassified service. The offices and positions in the classified service are divided into four classes, that are designated as the:

- Competitive Class
- Exempt Class
- Labor Class
- Non-Competitive Class

Appointment to competitive class titles must be one of the three highest ranked candidates on an “eligible list” created from the results of competitive examinations conducted by the New York State Department of Civil Service.